



STRATEGIC PLANNING RESOURCE GUIDE



STRATEGIC PLANNING RESOURCE GUIDE

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Acknowledgements

Maricopa County's Strategic Planning Resource Guide was originally developed in the summer of 2000 through a collaborative process between Maricopa County and Weidner Consulting of Austin, Texas. The express purpose of the Resource Guide was to document Maricopa County's strategic planning process and to provide an overview of the County's approach to Managing for Results.

The original Resource Guide and the Managing for Results strategic planning process resulted from the blending of Maricopa County's innovations and efforts with the methodologies and processes introduced by Weidner Consulting. After two years of accumulated practical experience, both the process and the Resource Guide have been refined and updated by Maricopa County.

Maricopa County Board of Supervisors

Don Stapley, Chairman, District 2
Fulton Brock, District 1
Andrew Kunasek, District 3
Max Wilson, District 4
Mary Rose Wilcox, District 5

County Administrative Officer

David R. Smith

Deputy County Administrator

Sandi Wilson

Budget Manager

Christopher Bradley



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Introduction/Overview

Background

By the mid-1990's, Maricopa County had achieved solid success in managing its budget and finances and began to realize the fruits of its efforts. The public's confidence in Maricopa County's fiscal management was affirmed in 1998 by the overwhelming vote to approve a new sales tax for jail and juvenile detention facilities, and the County's bond ratings were upgraded as well. Resources were available to invest in improved County services, but additional accountability was needed to ensure that these resources were used efficiently and effectively.

In 1998, after a review of "best practices" in the field of performance measurement and performance-based budgeting, the Office of Management and Budget (OMB) began to develop a proposal for strategic budgeting, in which strategic planning, budgeting and performance measurement would be aligned in a unified process. These initial concepts came together in the Resource Accountability Project (RAP). A RAP steering committee was organized, and six pilot departments attempted to develop strategic plans with fully aligned performance measures. These initial efforts generated significant momentum and taught valuable lessons – positioning the County to move forward.

In 2000 the County sought to broaden the RAP to include all departments. An outside firm, Weidner Consulting, was retained by the Office of Management and Budget to assist in this effort by reviewing Maricopa County's progress to date, recommending improvements, and assisting in implementation. Based in part on the consultants' recommendations, the Resource Accountability Project evolved into "Managing for Results" – a fully integrated management system focused on results for Maricopa County's citizens.

In the summer and fall of 2000, Maricopa County began to implement Managing for Results (MfR) by developing departmental strategic plans that integrated planning with budgeting and performance measurement. This effort created powerful tools for making good business decisions and achieving department and corporate goals and priorities. An important milestone was the adoption of the *Managing for Results Policy* (Appendix D) by the Maricopa County Board of Supervisors in September 2000. The policy confirmed the Board's support for Managing for Results by making it clear that participation would be a requirement for future funding.

Departments were provided with a *Strategic Planning Resource Guide*, along with extensive staff training that equipped them with the resources and tools needed to



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develop high quality strategic plans that managers could use to help them manage their resources. The *Strategic Planning Resource Guide* provided information and timelines for the County's move toward performance-based budgeting and the integration of results-oriented performance information in every individual employee's performance plan and subsequent evaluations.

By February 2001, most departments had completed their strategic planning documents. Each department's plan was reviewed and accepted by a corporate-level review team. The corporate review team highlighted a broad scope of issues facing all lines of business in Maricopa County. The Maricopa County Board of Supervisors' planning process began with a review of those issues. The Board's discussion included whether or not these issues would impact the established budget priorities. The Board's planning process culminated in the adoption of a new mission statement and a set of corporate strategic priorities on February 21, 2001:

Maricopa County Mission Statement:

The mission of Maricopa County is to provide regional leadership and fiscally responsible, necessary public services to its residents so they can enjoy living in healthy and safe communities.

Strategic Priorities:

- Provide regional leadership in critical public policy areas in a fiscally responsible manner.
- Minimize the burden on the property taxpayer through rate reductions.
- Healthy community and solvent healthcare system.
- Safe community through a streamlined, integrated criminal justice system.
- Provide regional leadership for a regional transportation system.
- Land use will be planned, managed and funded responsibly; Luke AFB will be preserved.
- Maricopa County will continue to improve its positive public image based on results achieved.

Managing for Results was front and center in the Fiscal Year 2001-02 budgeting process. Departmental funding requests were evaluated by the Office of Management and Budget based on the Board of Supervisors' strategic direction and budget goals, and focused on ensuring that requests aligned with departments' strategic plans. The financial cost accounting system was enhanced to parallel the Programs, Activities, and Services (PAS) delineated within each department strategic plan and became operational July 1, 2001.



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On a quarterly basis beginning in the fall of 2001, departments have reported performance measurement data and provided commentary on their progress. During the Fiscal Year 2002-03 budget preparation process, departments allocated the Recommended budget by Programs and Activities defined within their departmental strategic plans, setting the stage for budgeting for results in FY 2003-04.

The Government Performance Project (GPP) is a national project conducted by the Maxwell School of Citizenship and Public Affairs at Syracuse University in partnership with *Governing* magazine. The study collects, evaluates, and compares information about how well governmental jurisdictions are managed in five key areas: financial management, human resources, information technology, capital management, and managing for results.

Since the time of the project's initiation in 1996, four studies have been conducted at the county, state, and city level. In 2001 Maricopa County was selected as one of the 40 leading counties to participate in the project. The comparative results of the study were published in a special issue of *Governing* in February 2002. Maricopa County was identified as one of the best-run counties in the country and was one of only two counties in the nation to receive the highest overall scores of "A-".

Why Are We Doing This?

Strategic plans are developed to support good management practice by:

- Providing the right information to make good decisions;
- Aligning every employee to organizational success; and
- Compiling and reporting information needed to tell customers what they are getting for their investment (taxes).

The Managing for Results management system is designed to allow employees in Maricopa County to make the following three statements:

1. *What we are doing today contributes to our strategic direction.* (Every department has a strategic plan linked to their operational plan and every employee's performance plan.)
2. *We know what we have done has been effective.* (Performance measures are identified and managed for every activity demonstrating the results produced.)
3. *We know how much it costs to deliver our programs efficiently.* (All human and financial resources are tied to the services delivered and we can tell how much they cost and how efficiently services are delivered.)



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Managing for Results System

Maricopa County's Managing for Results initiative provides the foundation for a highly integrated management system focused on results for customers. This on-going and cyclical system is depicted below:



Through the Managing for Results system, Maricopa County has engaged in substantive planning and performance measurement. This comprehensive planning methodology supports the:

- Systematic creation of strategic goals that link to programs;
- Use of measures to track performance, support operational improvement, and inform resource allocation decisions; and
- Communication of goals and progress to both employees and the public.



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Planning for Results

A well-executed strategic plan promotes a common understanding of the department's/ agency's overall direction and purpose so that individual employees can readily determine how their work, actions and behaviors support the strategic direction and business success. In Planning for Results, current and future trends are examined in terms of how they may affect the business. Strategic goals and operational results are developed to best manage these anticipated challenges. Results are projected based on demand and internal capacity.

Each departmental strategic plan includes these key strategic elements:

- Environmental Assessment
- Issue Statements
- Mission Statement
- Strategic Goals

Operationally, departmental strategic plans organize how the department will deliver results into three levels:

- Services
- Activities
- Programs

Services describe the deliverables that the customer receives and, as such, are quantifiable. An Activity represents one or more Services with a single summarized or representative output directly related to a common purpose or result. A set of Activities that have a common purpose or result are then grouped into Programs. Programs provide operational and performance information for strategic decision-making.

Defining levels of operation in this manner makes it possible to demonstrate how each level contributes to results at the next higher level, creating an aligned organization. The table on the following page depicts this alignment strategy:



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ALIGNMENT BY ACTIVITY	
Strategic Plan Element	Result
Maricopa County Vision	
Maricopa County Mission	
Department Vision (optional)	
Department Mission	
Department Strategic Goals	
Program	
Program Purpose Statement	
Key Result(s)	
Activity	
Activity Purpose Statement	
Services that comprise the Activity	
Activity Performance Measures	Result: Output: Demand: Efficiency:
Responsible Employee	

Activities and Programs have a Purpose Statement that readily identifies the customer and the intended results for that customer. Managers are thereby able to make day-to-day decisions about resource allocation and service improvements in ways that align with the next higher level of results and ultimately ensuring alignment with the department's mission and goals.

Budgeting for Results

Maricopa County is committed to developing a budget system that provides financial and performance information to help decision-makers make good, informed business decisions that achieve results. The County uses the operational structure developed in the strategic plan to structure financial planning and reporting for each department/agency. This ensures that the budget is driven by policy and customers' needs. Integrating Budgeting for Results with strategic planning is critical in creating an integrated management system where financial resources, policy, department operations, and County staff are all aligned to achieve results.

Based on the Board of Supervisors' strategic direction and budget goals, the Office of Management and Budget evaluates departmental funding requests and ensures that requests align with departments' own strategic plans.



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Budgeting for Results is linked to and informed by performance measurements. Budgets are developed to provide resources to achieve desired levels of output to meet anticipated service demand. The expected output is directed to achieve desired measurable results.

Delivering Services & Collecting Data

Based on available resources established through the budgeting process, departments then deliver services and collect data about their performance. The financial cost accounting system parallels the Programs, Activities and Services (PAS) delineated within each department's strategic plan. This allows departments to collect expenditure and revenue data associated with their Services, Activities and Programs.

Along with collection of financial information, or inputs, departments also collect non-financial performance data related to demand, output, and results. Input data, or cost, is combined with output data to measure efficiency.

Reporting Results

Maricopa County is accountable to its residents by communicating what it does or does not achieve. The strategic plans, and the performance measures included within the plans, provide information about results that are meaningful to both employees and the public.

During the planning process, departments develop a family of performance measures for each Activity. Each Activity includes at least one of each of the following performance measurements:

- | | |
|--------------------|--|
| Result: | The impact or benefit customers receive from the Activity; expressed as a percentage or rate. |
| Output: | The number of units of service delivered or products produced for the customer; expressed as a number. |
| Demand: | The number of units of service or product demanded or needed by the customer; expressed as a number. |
| Efficiency: | The average Activity cost per Output or Result; expressed as a dollar cost or man-hours expended. |

Countywide, on a quarterly basis, departments report performance data via the Managing for Results database. This strategy provides an efficient and timely vehicle to ensure that data is complete or to identify incomplete reporting.

In addition to specialized performance data created by individual departments, the Administrative Services Program provides standardized performance data on a



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variety of internal administrative and support services. This comprehensive, standardized Program is included within each departmental plan and ensures consistent data collection, measurement, and reporting of key administrative functions, including human resources, risk management, budgeting, financial services, procurement, and the office of the director/elected official Activities.

Through the quarterly web-based reporting, performance data can be viewed on an individual department basis and can be consolidated to obtain Countywide results, outputs, demands and efficiencies. Individual departments may also use the data to benchmark their results against other County departments and agencies.

Evaluating Results

The integrity of the Managing for Results process and the information produced by the planning and budgeting systems are critical to the County's efforts in Managing for Results and in sustaining public support. Maricopa County is committed to a management system founded on accurate information.

Departments evaluate results, then external evaluators, such as the Maricopa County Internal Audit Department have established specific procedures to ensure that departments' performance information is sufficiently complete, accurate, valid and consistent. Performance audits provide assurance that reported data can be relied upon for decision-making purposes.

In addition, taxpayers and other organizations are interested in determining the effectiveness of results produced by governments. As mentioned earlier in this guide, the Government Performance Project (GPP), a national project conducted by the Maxwell School of Citizenship and Public Affairs at Syracuse University in partnership with *Governing* magazine collected, evaluated, and compared information about how well governmental jurisdictions are managed in five key areas: financial management, human resources, information technology, capital management, and managing for results.

The specific criteria evaluated within the managing for results section of the study included:

- Does the government engage in results-oriented strategic planning in which strategic objectives are identified and provide a clear purpose; government leadership effectively communicates objectives to employees; government plans are responsive to input from citizens and other stakeholders including employees; agency plans are coordinated with central government plans?



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- Does the government develop indicators and evaluative data that can measure progress toward results and accomplishments and does it take steps to ensure that these data are valid and accurate?
- Do leaders and managers use results data for policymaking, budgeting, management and evaluation of progress?
- Are there organizations within the government whose responsibility it is to evaluate programs or agencies, and are their conclusions utilized?
- Does government communicate the results of its activities to stakeholders?

Based on the criteria, Maricopa County was one of only two counties in the nation to receive the highest overall score of “A-” in the Managing for Results area.

One of the most powerful tools available to high-performing organizations is the employee performance management system. Maricopa County uses this system to make it possible for employees to see how they contribute at the operational, departmental and corporate levels. Performance measures are used to develop the performance standards for individual employees as depicted in the Employee Performance Results Planning & Alignment Worksheet sample shown on the next page.



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Employee Performance Results Planning & Alignment Worksheet			
Name:		Employee ID:	
Period Covered:		Date:	
		Department: Office of Management & Budget	
Department Mission:			
The mission of the Office of Management and Budget is to provide organizational and strategic leadership and consultation for the Board of Supervisors so that they can make well-informed policy and budgetary decisions.			
Department Strategic Goals Related to Position			
<ul style="list-style-type: none"> Maintain County expenditures within the constitutional limits set by the voters in 1998 through FY 2004 100% of County departments/agencies will be actively Managing for Results by CY 2002 		<ul style="list-style-type: none"> Management will use results-based performance information to make program and policy decisions by FY 2002 The entire County will be fully engaged in Budgeting for Results by FY 2003 	
Program and Purpose			
MULTI-YEAR PLANNING PROGRAM -- The purpose of this program is to provide forecasting and strategic planning services to the Board of Supervisors so they can set policy and make strategic decisions.			
Activity, Purpose & Related Measures	Individual Performance Purpose Statement	Individual Results Goals/ Expectations (Measures & Targets)	Evaluation Review Comments
<p>STRATEGIC PLANNING: The purpose of this activity is to provide planning services, tools and reviews to County departments, agencies and the Board of Supervisors so that they develop strategic plans that are aligned with the County strategic plan and with the Board of Supervisors' priorities.</p> <ul style="list-style-type: none"> Result: % of strategic plans accepted through corporate review 	<p>_____’s role in the Strategic Planning Activity is to provide the following services so that the strategic plans of assigned departments are aligned with the County strategic plan and with the Boards’ priorities:</p> <ul style="list-style-type: none"> Facilitated sessions Planning consultations Planning tools Planning reviews 	<ul style="list-style-type: none"> Contributes to 100% of assigned departments having successfully submitted amended/ updated strategic plans. Demonstrates awareness of assigned agencies’ families of measures in order to analyze how they compare with actual measures. Utilizes MfR and strategic plans as the basis for making recommendations. 	

Contributions to the achievement of departmental strategic goals and performance measures are the cornerstone of Maricopa County’s employee performance management and evaluation system. The Managing for Results process strengthens the alignment from the County’s strategic priorities through the department’s strategic goals. This alignment, in turn, directly links to the performance expectations of each employee. Employee performance ratings are based on the employee’s contributions to the department’s performance results. Maricopa County Policy and Procedure *A1802 Performance Management Process* is included as Appendix E.



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Decision Making

Based on the validated performance information gathered, decisions can be made more logically and rationally. Having supportable data allows the County to make decisions about resource allocation adjustments based on changes in demand or service delivery. If performance targets are not met, the County has information it needs to decide if those targets were set appropriately or if there is a need for operation or process improvements. We must plan ahead to make the best business decisions possible concerning future uses of all of our limited resources. Good decisions produce results that make a difference in people's lives and give taxpayers value for their money. In order to make the best business decisions, citizens and county government need the highest quality performance measure available.

Conclusion

Maricopa County's *Strategic Planning Resource Guide* provides a standardized methodology for all departments and agencies to use in developing performance information that is clear and consistent for decision-makers and the public. Department strategic plans provide the essential information for making policy and budget decisions that produce a high return on taxpayer dollars.



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STRATEGIC PLANNING FOR RESULTS

(**NOTE:** This section of the *Strategic Planning Resource Guide* provides information on the strategic and operational elements of strategic plans. For guidance on facilitating sessions to create a new plan, please refer to the “Facilitating Strategic Plan Creation” section of the *Guide*. For guidance on reviewing and updating an existing strategic plan, please refer to the “Plan Update Procedures” section of the *Guide*.)

Overview of Plan Elements

The following summarizes strategic plan elements in the order in which they appear on the Electronic Business Center (EBC) and on Maricopa County’s website at www.maricopa.gov/cio/mfr/viewOnly.asp

- **Department Vision:**
The Vision statement describes what the future would look like if the Department achieved its Strategic Goals and fulfilled its Mission. The Vision should inspire action and be connected to operations.
- **Department Mission:**
The Mission is a clear, concise statement of purpose for the entire Department. The Mission focuses on the broad, yet distinct, results the Department will achieve for its customers.
- **Department Goals:**
Strategic Goals translate resources into significant Results to be achieved over the next two to five years and provide the basis for evaluating the Department as a whole.
- **Department Issues:**
Issue Statements summarize the issues and trends that will have a major impact on the Department and its customers over the next two to five years.
- **Program:**
A Program is a set of Activities that may produce different products but are directed to a common purpose or result. Programs provide operational and performance information for strategic decision making.



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- **Program Purpose:**
Program Purpose Statements summarize the Services provided to specific customers and the benefit experienced by those customers across a set of related Activities.
- **Key Results:**
Key Result Measures are performance measures that are directly related to the Program Purpose Statement and measure the impact that Programs have on customers. Key results summarize the results of the Activities within the Program.
- **Activity:**
Activities represent one or more Services with a single summarized or representative output directly related to a common purpose or result.
- **Activity Purpose:**
Activity Purpose Statements summarize the Services provided to specific customers and the benefit experienced by those customers.
- **Services that comprise the Activity:**
Services are the deliverables or products that the customer receives. Services are described as nouns, not verbs, thus defining Services in terms of what the customer receives rather than in terms of what the Department does.
- **Performance Measures:**
Performance Measures describe the information managers and other decision-makers need in order to make good business decisions. Maricopa County uses a family of measures that include Result, Output, Demand, and Efficiency.
 - **Result:**
A performance measure that evaluates the impact or benefit customers receive from the Activity; expressed as a percentage or rate.
 - **Output:**
A performance measure that reflects the number of units of service delivered or products produced for the customers; expressed as a number.



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- **Demand:**
A performance measure that indicates the number of total units of service or product demanded or needed by the customer; expressed as a number.
- **Efficiency**
A performance measure that reflects the average Activity cost per Output or Result; expressed as a dollar cost or man-hours expended.
- **Activity Leader:**
An Activity Leader is the employee designated to serve in a leadership role in coordinating the accomplishment of the Services within the Activity and providing reporting information on the Performance Measures.

Strategic Planning Development Chronology



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Strategic Elements of the Plan

1. ENVIRONMENTAL ASSESSMENT

Purpose:

An Environmental Assessment analyzes and articulates the issues and trends that will have a major impact on the Department and its customers over the next two to five years. The Environmental Assessment is based on data-supported information from a variety of sources and professional judgment that describes changes anticipated from inside and outside the Department over the coming two to five year period.

Departments must perceive and anticipate what is ahead for their customers and their employees to effectively influence the future. The Environmental Assessment provides that information and perspective and gives context for the development of Issue Statements and Strategic Goals.

Conducting the Environmental Assessment:

a. Research and Gather Data

- Departments are encouraged to use high-quality data in conducting the Environment Assessment. The Office of Management and Budget can provide economic and demographic forecast data that may be valuable to a Department's discussions.
- Consider what is happening in the business, statewide and nationally, that will affect the Department. What does available information and data indicate about emerging issues and trends that will affect the Department's business in key issue areas such as:
 - Economy
 - Demographics and population
 - Work force
 - Politics
 - State and Federal government funding and regulation
 - Technology
- Consider trends described by others in the line of business (trade journals, professional associations, conference, etc.)



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and the potential impact such trends could have on the Department.

- A variety of applicable data may be available on the Internet. The web sites listed below contain performance measure information as well as federal and state statistical databases:
 - International City/County Management Association – <http://www.icma.org>
 - Campbell Public Affairs Institute/Governing Performance Project - www.maxwell.syr.edu/gpp/
 - Governing Magazine – www.governing.com
 - National Association of Counties – www.naco.org
 - Government Accounting Standards Board – www.gasb.org
 - Performance Measures for Governments
<http://www.rutgers.edu/Accounting/raw/seagov/pmg/helpgasb/index.html>
 - National League of Cities – www.nlc.org
 - Bureau of Labor Statistics – www.bls.gov
 - FedStats – www.fedstata.gov
 - U.S. Census Bureau – www.census.gov
 - Maricopa County Comprehensive Plan - <http://www.maricopa.gov/planning/compln/COMPLAN.asp.htm>
 - American City and County Magazine - <http://www.americancityandcounty.com>
- Bureau of Economic Analysis – www.bea.gov



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b. Review existing performance information

- How has the Department performed in achieving results? What will need to be done differently in the future?
- What do customer satisfaction surveys indicate about the Department's performance?
- What do employee satisfaction surveys indicate about the Department's performance?
- Consider feedback received from audits conducted on the Department. How will the Department respond to any identified weaknesses?

c. Ask Probing Questions

- What do previous assessments conducted by the Department indicate about issues and trends internal to the Department?
- What do previous assessments conducted by the Department indicate about issues and trends external to the Department?
- Which issues and trends previously identified are relevant today?
- What is known about the Department's work force? How will it change or need to change in the future?
- What technology challenges does the Department face?
- Is the organizational culture focusing its beliefs, behaviors and language on managing for results? What challenges does the Department face in getting there?
- Does the Department know who its customers are and how their needs will change in the future?
- Is the Department's organizational structure designed to achieve results?
- What are the strengths and limitations of the Department?
- What are the opportunities for positive internal change?
- What are the biggest internal problems facing the Department in the future?
- Is the Department in a competitive market place? Are there other organizations that can do what the Department does? Do they or will they want the business?
- How does the Department's performance match up to its peers in other jurisdictions?
- What do annual reports reveal about internal and/or external dynamics?



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d. Synthesize and articulate issues and trends

- Analyze and synthesize the information generated from the Environmental Assessment research and discussion.
- Identify and document emerging issues and trends that will have a major impact.

2. ISSUE STATEMENTS

Purpose:

An Issue Statement summarizes the issues and trends that will have a major impact on the Department and its customers over the next two to five years. Writing Issue Statements requires a review of the relationship between the internal and external issues and trends and synthesizing that information into concise statements of impact.

Preparing Issue Statements:

- a. Identify the issues and trends that will have the most significant impact on the Department and its customers over the next two to five years.**
- b. Write Issue Statements**
- Issue Statements contain two parts:
 - Description of the major issue or trend; and
 - Description of its impact on the Department
 - Write the Issue Statement as a statement of fact, not as a statement of need or an action statement.
 - Prepare no more than six to eight statements.
- c. Check Issue Statements against key criteria:**
- Are there no more than eight Issue Statements, so that they can be easily communicated?
 - Does each Issue Statement contain two parts? A description of the major issue/trend and its impact on the Department?
 - Are the Issue Statements based upon sound data and factual information and not on anecdotal information or hearsay?



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- Do the Issue Statements clearly state the issue as a statement of fact and not as statements of action, need, solution or recommendation?
- Are the Issue Statements clearly stated without jargon so managers can easily talk about them with employees and the general public?

3. STRATEGIC GOALS

Purpose:

Strategic Goals state significant results to be achieved over the next two to five years. They express, in terms of results, what the Department must do to proactively respond to the major issues facing the Department as expressed in the Issue Statements. Additionally, some Strategic Goals may also express a desired change in the Department's work environment.

Strategic Goals translate the Mission into the operations, performance and budget of the Department. Strategic Goals create the Department's corporate identity and are critical in order to:

- Establish alignment between the strategic part of the Plan—Issue Statements and Mission—and the operational part of the Plan—Programs and Activities.
- Provide a results-oriented basis for decision making at all levels.
- Demonstrate accountability to elected officials, the public, and corporate decision-makers.
- Provide the basis for evaluating the department as a whole.

Developing Strategic Goals:

a. Review characteristics of well-written Strategic Goals.

- Results-oriented and long term (2-5 years)
- Descriptive and specific
- Focused on the customer or on improving the Department
- Represent future achievements that transcend or go beyond current practice and the status quo
- Developed through a participatory process
- Specific, achievable results
- Accomplished through Activities and Programs



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- Measurable directly, or indirectly, through Activities and Programs
- b. **Review Issue Statements with the following questions in mind and discuss how the Department intends to address them in a proactive and anticipatory manner.**
 - Does the Department need to respond? How?
 - What results would need to be achieved in order to influence the issues or trends in the right direction?
 - How will achieving these results help the Department anticipate and influence change?
- c. **Based upon this analysis, write the Department's Strategic Goals.**
 - Write Strategic Goals so that they are departmental in scope. Departmental level Strategic Goals serve to connect the results planned at the operational level to the strategic issues facing the Department.
 - Develop Strategic Goals within the context of the Issue Statements. The process of synthesizing future trends and issues, internal and external to the Department, into a few powerful statements of impact often creates new and shared awareness.
 - Write Strategic Goals that lead to the development of operational elements that go beyond business as usual. Strategic Goals, expressed as results, guide the development of the rest of the Strategic Plan.
 - Make Strategic Goals specific. To be useful in assessing the Department's progress, Strategic Goals need to be expressed in specific, results-oriented terms, rather than in broad, general terms.
 - Describe the real intent of the Department; don't dilute with generalities. Ensure that the Strategic Goal statements can be understood by decision-makers outside of the Department.
- d. **Review Strategic Goals from previous plans**
 - Following the initial development of Strategic Goals, review Strategic Goals written in previous plans. It is critical to refrain from developing Strategic Goals by first reviewing previously established goals. This will significantly hinder the



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Department's ability to consider emerging issues and trends in new ways and in terms of results to be achieved.

- However, once the Strategic Goals are developed and agreed upon, it is then useful to review previous Goals. Determine whether any of these Strategic Goals are still relevant, in addition to the new Strategic Goals. If so, determine if revisions are required.

e. Check Strategic Goals against key criteria.

- Is the Goal measurable, directly or indirectly?
- How will the Department know that they have achieved the Goal?
- Is the Goal results oriented and focused on the future (2-5 years)?
- Is there a clear relationship between the Goal and one or more Issue Statements?
- Does accomplishment of the Goal seem to represent significant change and/or effort on the part of the Department?
- Is the Goal reasonably achieved through one or more Programs?
- Are the Goals that focus on building internal capacity kept to a minimum? Routinely, Department's Mission Statements focus on the external customer. As a result, a Department would not typically have more than one Strategic Goal related to building internal capacity.
- Taken together, do all of the Goals provide a way to evaluate the Department as a whole?



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4. MISSION

Purpose:

The Department's Mission is a clear, concise statement of purpose for the entire Department. The Mission focuses on the broad, yet distinct, results the Department will achieve for its customers. The formulation of the Mission answers the fundamental question: Why do we exist as an organization?

The Mission is the cornerstone of the Strategic Plan and provides the basis for aligning Strategic Goals, Programs, Activities and Services, and it provides the context for decision making at all levels in the organization. The Department's Mission creates clarity and corporate identity for external stakeholders. The words and intent in the Mission communicate results and direction, and express the organization's commitment to public service. For employees, the Mission provides a common sense of purpose and identity for all staff and every work unit. Employees can understand how their work matters to the success of the Department in the community.

Developing the Mission Statement:

- a. **Consider the future direction of the Department and the Environmental Assessment.**
 - In the development of the Strategic Plan, the Mission follows the completion of the Environmental Assessment and the formulation of Issue Statements and Strategic Goals.
 - The Mission clarifies how the organization defines itself and its business.
 - Review the Environmental Assessment and Issue Statements.
 - Consider who the Department's current and future customers might be.
 - Consider the services or products that might be provided over the next two to five years.
 - Review the Strategic Goals and clarify the impact the Department intends to have on its customers and its future.



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b. Review the existing Mission of the Department

- Review existing Mission statement, if any, prior to developing a revised Mission statement.
- Is it still relevant?
- Does it still communicate effectively and clearly the purpose and scope of the Department?
- Is it clear what services the Department provides?
- Are the Department's primary customers clearly and specifically identified?
- Does it clearly state the results or benefits the customer receives?

c. Formulate the Mission

- Mission Statements should be succinct and results-oriented.
- Use the Managing for Results template to formulate the Mission Statement:

Department Mission Statement:

The Mission of the _____ (Department Name) _____

is to provide/produce _____ (summary of products/services) _____

to/for _____ (specific customer or customer group) _____

so that they can _____ (results/benefits experienced by customer(s)) _____.

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- Identify Department name.
- Express deliverable, products and/or services in a summary phrase.
- Identify the principal customer or customer groups -- being as specific as possible.
- Identify the results/benefits experienced by the customer.



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d. Check Mission Statement against key criteria:

- Does the Mission Statement communicate effectively and clearly the purpose and scope of the Department?
- Is the customer clearly identified within the Mission? Are the customers human entities, not things?
- Does the Mission clearly state the results or benefits the customer receives?
- Does the Mission Statement follow the format provided in step c.?

5. VISION

Purpose:

A Vision describes what the future would look like if the Department achieved its Strategic Goals and fulfilled its Mission. A good Vision statement is one that will inspire and challenge, and also be meaningful so employees will be able to relate their job to the Vision.

Vision statements are useful when they are meaningfully linked to operations, performance and budget. The best way to ensure that this linkage is made is to develop the Vision statement after all of the other strategic elements of the Strategic Plan have been developed. This method ensures that the Vision is built on the Mission and Strategic Goals and therefore the operations, performance and budget of the Department.

Departments may create their own distinct Vision Statement or adopt the Maricopa County Vision Statement.

Developing a Vision Statement:

a. Determine if the Department will create a Vision Statement.

- Would a Vision statement duplicate the Department's Strategic Goals?
- Would a Departmental Vision statement be redundant with the County's Vision? The Maricopa County vision is, *"Citizens serving citizens by working collaboratively, efficiently and innovatively. We will be responsive to our customers while being fiscally prudent."*



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- b. **If the Department determines that a department-specific Vision Statement is appropriate:**
- Review the Environmental Assessment to ensure familiarity with the Issue Statements that will significantly impact the future.
 - Review the Mission statement to be clear about the Department's purpose.
 - Review the Strategic Goals to ensure that the Vision is tied to the Department's operations.
 - Briefly describe the future state in terms of circumstances the Department can influence.
 - Consider the following questions:
 - What are the Department's priorities as represented in the Strategic Goals?
 - What would the future look like if the Strategic Goals were achieved and the Mission fulfilled?
 - What are the Department's greatest opportunities in the future?
 - How will the Department enhance the circumstances for those who use its services and products?
 - What contribution should the Department be making?
 - How does the Department describe the desired future?



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6. VALUES

Purpose:

A Values Statement is the expression of the core values and operating principles for the conduct of a Department in carrying out its mission. Values describe those concepts, attitudes, and beliefs that are most important. Collectively held values define an organization and help to distinguish some choices, goals, or hopes for the future as being more appropriate or correct than others. In so doing, it communicates to the public the basic elements of operational philosophy to be followed by the Department and provides a guidepost for employee conduct.

The Values Statement is derived in conjunction with the development of the Mission Statement and, if applicable, the Vision Statement. It defines the Department's business by articulating management policies and principles. The Values Statement should define a customer-oriented approach for producing and delivering government services and products.

Articulating Values Statement:

a. Review the County Stewardship Statement

- Maricopa County Stewardship Statement:

Share information and empower others for the overall good of Maricopa County

Trust and encourage others

Exercise collaborative decision-making

Willing to be a guardian of the public's trust

Act timely to obtain results

Relentless dedication to providing total customer service

Dare to take prudent risks to promote continuous improvement

Set examples of leadership daily

Honor public service with integrity beyond reproach

Inspire yourself and others to achieve the common vision

Praise and recognize others and yourself for positive achievements



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- b. **Determine if the Department wishes to adopt the County Stewardship Statement or to customize a Department-specific Values Statement.**
- Departments have a number of options with respect to Value Statements. They can
 - Adopt the County Stewardship Statement as is; or
 - Modify the County Stewardship Statement and customize it for their own needs; or
 - Develop their statement from scratch.
 - If either of the last two options is selected, the following steps and/or questions should be addressed:
- c. **Review and consider the following as the Values Statements are formulated:**
- Values and beliefs guide the decisions of organizational life.
 - Values are expressions of the organization's culture, determining its attractiveness to employees, customers, and all others who have a say in whether the organization will prosper.
 - Publishing Values is a good idea, but living them day in and day out is really what counts. In many cases, an organization's strength is not so much in its strategy or even in its products, but rather in the way it behaves.
 - How will the Department employees incorporate the values into their everyday jobs?
 - What actions does the Department need to take to support its values? (Walk the talk).
 - Do the Values align with the Department's Mission Statement?
 - Is the Value Statement concise, in plain language, and easy to remember (and recite)?
 - Will the Values Statement provide a useful frame of reference in talking with employees and external customers/ stakeholders and organizing/informing the Department's operations?



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Operational Elements of the Plan

1. SERVICES INVENTORY

Purpose:

A Services Inventory is a compilation of deliverables or products that the customer receives. Services are the products or completed efforts that are provided to internal and external customers. Services may be tangible in nature, as in a product provided, or intangible, as in a service provided. They are distinct from processes in that they represent deliverables to the customer. Services are described as nouns, not verbs, and should be quantifiable. They describe what the customer receives, not what the Department does or how the Department produces the deliverable.

Compiling an inventory of Services allows Departments to:

- Identify important Outputs the Department wants to monitor and manage.
- Create an accounting structure that permits Departments to capture and monitor costs.
- Clarify for internal and external customers exactly what deliverables the Department provides.
- Clarify for employees the interrelatedness, in terms of results, of the Services they and their co-workers produce which helps to reinforce a results-oriented culture.
- Provide a linkage to individual and team accountability.

Conducting a Services Inventory:

a. Identify Services in all areas of the Department.

- Identify the discrete things, the deliverables, that the Department provides to customers.
- For each Service, identify the customer who receives the Service.
- Consider the following: If the Department were selling its Services on the open market and wanted to produce a brochure for marketing purposes, what would the Department list that



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would tell people, quickly and succinctly, what tangible or intangible products they could buy from the Department?

- Examples of Services:
 - Training Courses (rather than Conduct Training);
 - Salary Surveys (rather than Conduct Salary Surveys);
 - Health Assessments (rather than Assess Health Status);
 - Investigative Reports (rather than Conduct Investigations).
- Consider all of the various items for which the Department expends funds and/or receives revenue. Are all of these items included as Services?

b. Review the list and rephrase as necessary so that each item meets the following criteria:

- Is there a customer who receives the Service?
- Is it expressed as a noun or noun phrase?
- Is it measurable as a count of something? Services are Outputs that, when measured, are described as “# of _(Service units)_ delivered.”
- Does it represent the end product or deliverable, rather than an action engaged in prior to actually delivering the product to the internal or external customer?
- Is it identified at the appropriate level, in terms of scope, in the organization?

c. Review and finalize the list of Services

- Review the identified Services from the following perspectives:
 - Of all of the things that the Department produces, which are especially important from the perspective of capturing and managing costs?
 - Of all of the things that the Department produces, which are especially important to the County’s corporate decision-makers, from the perspective of capturing and managing costs?
 - Of all of the things the Department delivers to the community, which are especially important to policy makers? Will policy makers be able to identify these Services when they review a Department’s strategic plan?



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d. Check Services against key criteria:

- Does the list include all key Services and products provided by the Department to internal or external customers?
- Does each Service represent the deliverable that is provided to the customer at the point of contact?
- Does each Service represent the product the customer receives, rather than a task the Department performs?
- Are all the Services expressed as nouns?
- Is each Service quantifiable? Can the Department count the number of Service units produced?
- Are all the Services identified at the appropriate level in the organization (i.e., clearly a Service and not an Activity or Program)?
- Does each service have a unique title in each Activity? (i.e. Strategic Planning Consultations, Budget Consultations not just Consultations)
- Does the listing permit the Department to strategically identify cost information, often captured as a cost per unit of Service measure, needed to make day to day decisions?
- Does the compilation of Services identify important outputs the Department wants to monitor and manage?
- Will this compilation of Services help the Department to develop performance information that can be used to manage the Department?
- Will this compilation of Services help the Department in developing performance information that can be used in communicating with external stakeholders?
- Does the compilation include all items for which funds are expended and for which revenue is generated?
- Do all of the Services listed contribute to the accomplishment of the Department Mission?



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2. ACTIVITIES

Purpose:

Activities represent one or more Services with a single summarized output directly related to a common purpose or result. Activities may include Services to the public or to internal customers within the Department. Activities are managed at the service delivery level and form the “building blocks” of the Strategic Plan. Defining Activities in a manner that supports results-oriented management ensures that the Department and its employees understand why they are doing what they are doing in terms of benefits to clearly identified customers. An Activity is comprised of:

- A set of Services with a common purpose or result;
- A single summarized or representative output
- An Activity Purpose Statement; and
- A Family of Measures

Activities provide a context, through the Activity Purpose Statement and Family of Measures, for making better business decisions. The structure of Activities in the Strategic Plan provides the organizational structure for the Performance Budget, ensuring that stakeholders have the performance information—at the operational level—to make resource allocation and other decisions during the Budget process.

Activities are developed to:

- Provide the structure for the Performance Budget;
- Create accountability through the “Family of Measures”;
- Ensure that the Department is clear about who the customer is and the intended benefit for every Activity;
- Provide a results orientation for communicating with employees about the services they provide and their contribution to results; and
- Provide the direct linkage to executive, team, and employee performance plans and evaluations.

Grouping Services into Activities:

a. Review Strategic Goals and Issue Statements.

Strategic Goals position the Department to respond proactively to major issues on the horizon and are accomplished through the creation of Results at the Activity level. It is important to review



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the Goals so that Activities can be delineated within the context of future Results to be achieved.

- b. Group Services by common purpose, or result, rather than other criteria, such as current organizational structure, funding source or tradition.**
 - Think strategically and within the context of results-oriented Strategic Goals. This is the juncture where planners can construct a Strategic Plan that permits them to “tell their story” – particularly to decision-makers and to employees – clearly and effectively.
 - Confirm the Inventory of Services
 - Group Services by common purpose, carefully considering the different possible approaches: common results produced, common primary customer, or common benefit.

- c. Consider priority Results that need to be illuminated through Activity Purpose Statements and Performance Measures**
 - Results can be thought of in several ways. Think through the issues to identify the true customer of Services and the result that customer expects to experience. Some results are more important than others to the Department and corporate decision-makers. Pulling those Services out from their groupings to form a distinct Activity so that Activity Purpose Statements and Performance Measures can be developed specifically for those results is one way to illuminate those results very strategically.
 - Similarly, some Services are crosscutting, and are provided through several work units. If the Department wants employees to prioritize efforts to focus on those results in a different way than in the past, then pulling those Services out of the more traditional groupings to form an Activity can create that kind of emphasis.
 - Consider the following:
 - What information does the Department know that external stakeholders, including the Office of Management and Budget, need; and how should Services and Activities be structured so that they can get that information quickly and easily?



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- How does the Department want its Performance Budget structured so that it supports a results orientation?
 - How can the Department be strategic in its thinking as different sorting options are considered?
 - How does the Department want to organize its efforts so that particular results, as opposed to others, are produced?
- d. **Analyze and confirm entire structure of Department Activities.**
- Name each grouping with a meaningful title. This title becomes the Activity name.
 - Summarize the Services listed within the Activity into a noun phrase. This exercise will ensure that all Services within the Activity have a common purpose.
- e. **Check Activity groupings against key criteria:**
- Will this arrangement of Services into Activities provide the Board of Supervisors the kind of information needed to make policy decisions on behalf of the public?
 - Will the arrangement of Services into Activities provide County administration the kind of information required to make sound resource allocation decisions?
 - Given the Activity grouping, can a budget be organized and costs be allocated meaningfully at this level?
 - Will the grouping of Services into Activities provide the performance information needed to manage?
- f. **Develop Activity Purpose Statements**
- Activity Purpose Statements are clear, concise and results-oriented statements that bring together the name, Services delivered to and the intended benefit for the customer. Activity Purpose Statements create an orientation toward results for managing budgeting and operations and are fundamental to the Department's Strategic Plan. As such, they should be written so that all stakeholders can clearly understand the Department's Activities and Services.
 - Develop Activity Purpose Statements utilizing the following Managing for Results template:



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Activity Purpose Statement:

The purpose of the _____(Name)_____Activity

is to provide _____(summary of services provided)_____

to/for _____(specific customer or customer group)_____

so that they can _(results/benefits experienced by customer(s))_.

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- State the name of the Activity. Choose a name that has meaning not only to the employees involved in the Activity, but also to customers and decision-makers. Consider the following:
 - How has the Activity been defined and named in the past?
 - Write a name that accurately reflects what it is and that does not carry a stigma with the words used.
- Summarize (do not list) the Services provided in clear, succinct language. Use nouns and avoid adjectives. Avoid technical jargon. Think in terms of deliverables, rather than processes.
- Identify the immediate customer. Be as specific and descriptive as possible, but keep it succinct.
 - Consider the following:
 - Who receives the direct benefit of this Activity?
 - For whom does this Activity exist?
 - Avoid generalizations, such as the residents of Maricopa County, unless this Activity truly serves, as the direct customer, anyone who lives in Maricopa County.
 - Customers may be internal or external to the Department.
 - Who has been defined as the customer in the past? Is this correct?



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- Articulate the results or benefits experienced by the customer as a consequence of receiving the Services. State the desired impact on the customer. What will change, improve, increase or decrease because of this Activity?

NOTE: The “results/benefits” portion of the template language leads directly to development of the Result Performance Measure. If the Result Performance Measure does not emerge easily from the “results/benefits” portion of the Activity Purpose Statement, the Activity Purpose Statement should be reevaluated.

- g. Check Activity Purpose Statements against key criteria:**
- Is it clear who receives the direct benefit of the Activity?
 - Is the “Service” listed in the Purpose Statement a summary compilation, not an itemized listing of the Services within the Activity?
 - Is the “planned benefit” stated in terms of results?
 - Does the grouping of Services that comprise this Activity make sense?
 - Given the Activity described, can a budget be organized and costs be allocated meaningfully?



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3. PERFORMANCE MEASURES

Purpose:

Performance Measures define the information that management needs to manage. Performance Measures are tied directly to the operations of the department, i.e., Activities and Services. Maricopa County has chosen a balanced and practical approach to performance measurement by using a Family of Measures that includes Result, Output, Demand and Efficiency measures. These four categories of measures must be developed for each Activity and must be viewed at a holistic level. The Family of Measures, taken as a whole, should provide the appropriate context for understanding how a particular Output relates to the Demand being experienced, Results achieved and the Efficiency with which the Output or Result is produced. In other words, a single measure cannot tell the whole story. By designing a congruent Family of Measures, Departments are able to demonstrate dynamics such as:

- Results may not be achieved because Demand is not being met; or
- Results have been achieved, but Efficiency is very low – meaning that the Results have been achieved at a very high cost to the public.

Maricopa County utilizes Performance Measures to produce better results and provide the greatest return on investment. Performance Measures generate the information that managers need to produce these results and determine the degree to which the Results are being achieved. The Board of Supervisors, Elected Officials, Department Directors, Office of Management and Budget, and other corporate decision-makers rely on performance measurement data to make informed resource allocation recommendations and decisions.

Developing Performance Measures:

- Consider what information the Department and other stakeholders need to manage and to make effective resource allocation decisions.**
 - What information does the Department need to manage day-to-day operations?



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- What information do the customers and stakeholders want to see?
 - What do corporate policy makers need to know to make effectively resource allocation decision?
- b. **Review characteristics of good Performance Measures:**
- **Relevant** -- logically and directly related to the Department and the Activity
 - **Understandable** – communicated in a clear manner with no jargon or acronyms
 - **Consistent** – used uniformly in the planning, budgeting, accounting and reporting systems
 - **Comparable** – provide a clear frame of reference for assessing performance over time to demonstrate performance trends
 - **Timely** – available to users before the information loses its value in assessing accountability and making decisions
 - **Reliable** – derived from systems that produce controlled and verifiable data
- c. **Review the definition of each type of Performance Measure**
- **Result Measures**
 - **Definition:** A measure of the impact or benefit the customer experiences as a consequence of receiving the Services of the Activity; stated as a percentage or rate.
 - The method for establishing high-quality Result measures rests in the use of the Activity Purpose Statement. When the “benefit” portion of the statement is clear and accurate, it becomes a straightforward task to write the Result measure(s).
 - **Example:**
 - **Activity Purpose Statement:**
The purpose of the Job Training Activity is to provide job training and coaching to individuals with disabilities so that they can obtain and retain employment for at least six months.
 - **Result Measure:**
% job trainees who obtain and retain jobs for 6 months or longer



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- **Key Criteria:**
 - Does this measure provide valuable information for the Department, stakeholders, and decision-makers?
 - Does this measure impact, not process?
 - Does the Result align with the result in the Activity Purpose Statement?

- **Output Measures**
 - **Definition:** The number of units produced or delivered to the customer; expressed in terms of a number.
 - Many Output Measures may be available, so it is important to prioritize which Outputs to measure by:
 - Considering which Output measure will be the most meaningful to stakeholders and decision-makers.
 - Which Output measure will be required to calculate Result and Efficiency Measures?
 - **Example:**
 - **Activity Purpose Statement:**

The purpose of the Job Training Activity is to provide job training and coaching to individuals with disabilities so that they can obtain and retain employment for at least six months.
 - **Output Measures:**
 - # participants enrolled in job training course
 - # participants who became successful job holders
 - **Key Criteria:**
 - Does the Output measure effort?
 - Does this Output make a critical contribution to the Result?
 - Does this Output make a critical contribution to calculating the Efficiency measure?
 - Does the Output measure align with the Activity Purpose?



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- **Demand Measures**

- **Definition:** The number of total units of Service demanded or needed by the customer; expressed as a number.
- Developing Demand data could involve
 - Analyzing past demand trends for the service; and/or
 - Considering the full population of clientele who could benefit from or be eligible to participate in the Service or Activity
- **Example:**
 - **Activity Purpose Statement:**

The purpose of the Job Training Activity is to provide job training and coaching to individuals with disabilities so that they can obtain and retain employment for at least six months.
 - **Demand Measure:**
 - # residents eligible for job training
- **Key Criteria:**
 - Does the Demand Measure correspond to the Output Measures developed for the Activity?
 - Does the Demand Measure align with the Activity Purpose?

- **Efficiency Measures**

- **Definition:** The average Activity cost per Output or Result; expressed as a dollar cost.
- Considerations when developing Efficiency Measures:
 - Corporate decision makers' need for cost information;
 - The Department's need for cost information.
- **Example:**
 - **Activity Purpose Statement:**

The purpose of the Job Training Activity is to provide job training and coaching to individuals with disabilities so that they can obtain and retain employment for at least six months.
 - **Efficiency Measure:**
 - \$ cost per participant trained (cost per Output)
 - \$ cost per successful job holder (cost per Result)



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- **Key Criteria:**
 - Does the Efficiency Measure determine the cost per Output?
 - Does the Efficiency Measure make it possible to begin calculating the cost per Result?
 - Does the Efficiency Measure correspond or relate to the Result, Output and Demand measures for this Activity?
 - Does the Efficiency Measure align with the Activity Purpose?

SAMPLE PERFORMANCE MEASURES

Term	Definition	Examples
Result	The impact or benefit customers receive from the Activity. Expressed as a <u>Percentage (%) or rate</u>	% job trainees who hold job for 6 months or longer % residential building inspections completed within 3 days of application % purchase order customers receiving requested goods within 30 days
Output	The number of units of service or product delivered to customers. Expressed as a <u>Number (#)</u>	# participants in job training # building inspections completed # purchase orders processed
Demand	The number of total units of service or product demanded or needed by customers. Expressed as a <u>Number (#)</u>	# residents eligible for job training # building inspections applications received # purchase orders received
Efficiency	The average Activity cost per Output or Result. Expressed as a <u>Dollar (\$) cost</u>	\$ cost per participant served (cost per output) \$ cost per successful job holder (cost per result) \$ cost per building inspection completed (cost per output) \$ cost per building inspection completed within three days (cost per result) \$ cost per purchase order processed (cost per output) \$ cost per purchase order successfully processed within 30 days(cost per result)
Input	Resources expended –used to calculate Efficiency Measures	Dollars spent Staff hours used



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4. PROGRAMS

Purpose:

A Program is a set of Activities with a common purpose that produces results for customers. Programs are described in clear, results-oriented terms in a Program Purpose Statement; are aligned with the Department's Mission and Goals, as well as with Activities; contain performance measures that measure the impact on customers; represent the level at which broad policy and budgetary decisions are made; and encompass all of the Department's operations.

Programs are formulated in order to:

- Communicate to the Board of Supervisors and public in a concise, accessible manner what results the community can expect from the Department;
- Provide the arena within which budgetary and legislative decision making is focused;
- Ensure that business decisions are based upon results; and
- Provide a vehicle for thinking strategically about the Programs in which the Department needs to engage so that it can achieve its Mission.

Delineating Programs:

a. Identify each Program

- Group Activities by common purpose or result:
 - Check the groupings of Services that comprise each Activity to ensure that all work units and operations are reflected.
 - Review the Activity Purpose Statements and group together by common purpose or result.
 - Name the Program.

b. Confirm the Program groupings for alignment

- Is each Program arranged around a common purpose? Is the common purpose one of results experienced by the customer, rather than process?
- Are all of the Department's operations included within the Programs?



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- Does the configuration of Activities and Programs move the Department toward achieving Strategic Goals?
 - Does each Strategic Goal have one or more Programs delineated that directly and significantly support achieving the Strategic Goal?
- c. **Develop a Program Purpose Statement for each Program**
- Develop Program Purpose Statements utilizing the following Managing for Results template:

Program Purpose Statement:

The purpose of the _____(Name)_____ Program

is to provide _____(summary of services provided)_____

to/for _____(specific customer or customer group)_____

so that they can _____(results/benefits experienced by customer(s))_____.

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- Identify the name of the Program. Choose a name that has meaning not only to the employees involved in the Activities included within the Program, but also to customers and decision-makers.
 - State a summary of services for the entire Program by considering the summaries of services included within the Activity Purpose Statements for all Activities included in the Program.
 - Identify the immediate customer. Be as specific and descriptive as possible, but keep it succinct.
- d. **Check Programs against key criteria:**
- Does each Program Purpose Statement describe the Program in terms similar to what the general public uses (i.e., no jargon, no acronyms, etc.)?
 - Is there only one (or possibly two) key customers identified?



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- Is the “service” described in the Program Purpose Statement a summary, not a listing, of the services provided through the Activities grouped together in the Program?
 - Can a reader, outside of the Department, easily understand the planned benefit that the Department is seeking to deliver?
 - Is the planned benefit stated in terms of results?
 - Does the benefit of the Program align with one or more of the Department’s Strategic Goals?
- e. **Identify key Result Measures for each Program:**
- Review the Purpose Statement for the Program
 - Review the Result Measures for all Activities within the Program.
 - Select at least one Result Measure from one of the Activities within the Program as the Key Result Measure for the Program or:
 - Create a Result Measure which represents the Activities overall and aligns directly to the “results/benefits expected” line in the Program Purpose statement



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CORPORATE REVIEW PROCESS

A four-phase corporate level review is conducted on all new and revised Strategic Plans, as follows:

- **Technical Review**
Utilizing a uniform checklist, Office of Management and Budget (OMB) analysts conduct a review of each submission to ensure its completeness and that the most basic plan components are included.
- **Structural Review**
Using standard criteria as set forth in the *Managing for Results Resource Guide*, OMB analysts perform in-depth reviews of each plan element; i.e., Issue Statements, Strategic Goals, Mission/Vision, Services, Activities, Performance Measures, and Programs.
- **Content Review**
Using a short list of criteria, OMB analysts review each plan at a holistic level to determine if the Activities and Programs delineated facilitate the Department's capacity to reach its strategic goals. The review yields written questions and comments that provide the basis for discussion during the fourth phase.
- **Corporate Review Committee Meeting Phase**
All newly created and significantly revised Strategic Plans are submitted to a corporate-level review team.
 - The Strategic Plan Corporate Review Committee is comprised of the
 - Deputy County Administrator,
 - Budget Manager,
 - Human Resources Director,
 - Chief Financial Officer,
 - A representative from the Internal Audit Department, and
 - County business representatives from Court Agencies, Criminal Justice, Health, Community Services, Public Works, and specialized Elected Offices.
 - The Committee meets with Departments and discusses newly created and/or materially revised Strategic Plans. The



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Committee resolves any outstanding concerns that may have arisen during the first three phases of the review and either accepts, denies, or defers acceptance pending additional refinements to Plans.

- These departmental discussions of Strategic Plans also provide one forum for identifying issues requiring elevation to the Board of Supervisors for consideration in formulating Maricopa County's overall strategic direction. One of the resource documents available to the Board at the beginning of the planning process is a compilation of issues derived from the Corporate Review process.

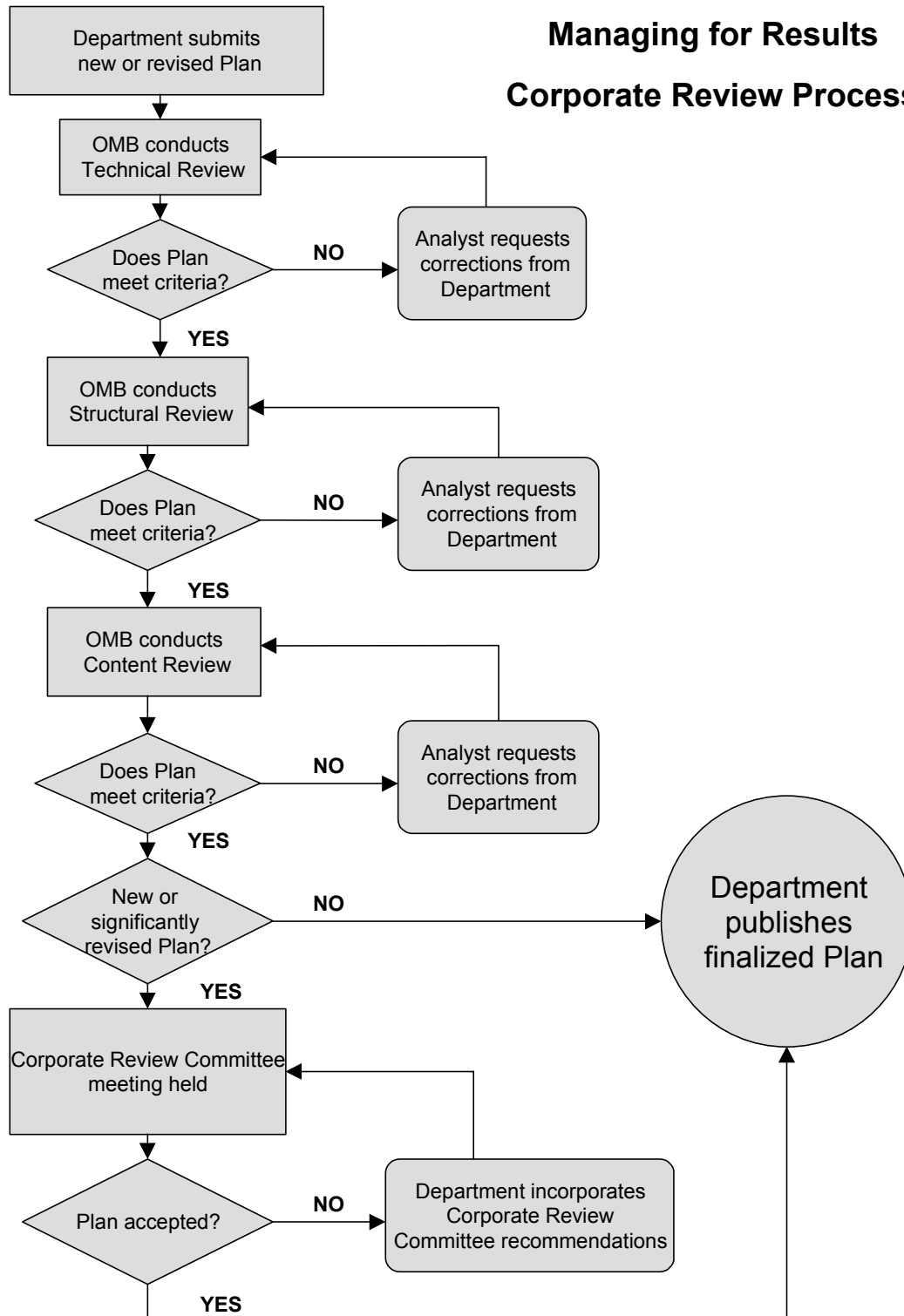
The flowchart on the following page graphically depicts the four-phase review process.

Based on the Services and Activities delineated in finalized Department Strategic Plans, the Finance Department assigns PAS (Program, Activity, Service) codes. These codes are used by departments to charge and track costs through the Advantage financial system. For a current listing of PAS codes, access the Finance Department website at http://ebc.maricopa.gov/finance/pdf/PAS_Codes_FY03.pdf.



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Managing for Results Corporate Review Process





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FREQUENTLY USED TERMS AND DEFINITIONS

Accountability – County Government is willing and able to tell taxpayers what they are getting for their money in terms of results for customers.

Activity – A set of Services grouped together around a common purpose or result.

Activity Leader – Employee designated to serve in a leadership role in coordinating the accomplishment of the Services within an Activity and providing reporting information on the Performance Measures.

Baseline – Established level of previous or current performance that could be used to set improvement goals and provide a comparison for assessing future progress.

Benchmarking – The continuous process of collecting information on internal or external standards, processes, and/or best practices, evaluating why they are successful and applying what is learned.

Budgeting for Results – Budget decisions are based on or informed by performance information that describes the cost or efficiency of producing an Activity and the results achieved for customers. This is accomplished by structuring the accounting and budgeting systems according to the structure of Departments' Strategic Plans.

Customer – Anyone whose best interests are served by or who receives or uses the products or services of an agency or program.

Demand Measure – A performance measure that reflects the number of total units of service or product demanded or needed by the customer.

Department – When used in this *Resource Guide*, the term “Department” refers to a governmental entity designated as an appointed or elected office, agency or department (including the Judicial Branch) or a Special District.

Efficiency Measure – A performance measure that indicates the average Activity cost per Output or Result.

Employee Performance Plan – Process of setting employee objectives according to job descriptions and expected results that align with the Department's Strategic Plan.



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Environmental Assessment – An analysis and articulation of the issues and trends that will have a major impact on the Department and its customers over the next two to five years. The Environmental Assessment is based on data-supported information and professional judgment that describes changes anticipated from inside and outside the Department.

Family of Measures – The Family of Measures refers to the four categories of Performance Measures used to measure the performance of an Activity. They include Result, Output, Demand, and Efficiency Measures. The reason they are referred to as a Family is that they are developed and used in relationship to one another. They tell this story for each Activity: "We will produce this Result for this customer by producing this Output(s), against this Demand for those Outputs (Services), at this cost (Efficiency)."

Input – Inputs are the volume of resources used to provide an Activity and are important to the budget process. Inputs are typically stated in terms of dollars or hours, but are sometimes stated in terms of people or material resources.

Issues – In Strategic Planning this refers to a circumstance that will have a major impact on the County, e.g., a specific Department and its customers.

Issue Statements – Summarize the issues and trends that will have a major impact on the department and its customers over the next 2-5 years. Issue Statements include what that impact will be. Issue Statements are not statements of need nor do they describe actions to be taken. Issue Statements are the products of the Environmental Assessment.

Key Result Measure – A performance measure that is directly related to the Program Purpose Statement and measures the impact that Program has on citizens/customers.

Managing for Results – Managing for Results means that an entire organization, its management system, the people who work there and the organizational culture (beliefs, behavior and language) are focused on achieving results for the customer. Managing for Results makes it possible to make good business decisions based on performance and makes it possible for a department to demonstrate accountability for results.



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Mandate – A constitutional, statutory or court-ordered requirement from either Federal, State or County entity that requires the organization to provide a Service or perform a particular Activity.

Mission – The department's Mission is a clear, concise statement of purpose for the entire department. The Mission focuses on the broad, yet distinct, results the department will achieve for its customers.

Output Measure – A performance measure that indicates the number of units produced or delivered to the customer.

Performance Budget – The method for developing and finalizing a Department's request for appropriations or allocations derived from its Strategic Plan and consistent with the Department's statutory responsibilities. Performance budgeting allocates resources based on the achievement of measurable objectives, which in turn are related to the Department's Mission and Strategic Goals.

Performance Management – The practice of writing employee performance plans, providing coaching and counseling, and conducting employee appraisals in a way that measures performance in terms of results that align with Activity results.

Performance Measures – Performance Measures describe the information managers and other decision-makers need in order to make good business decisions. Maricopa County uses a Family of Measures that include Result, Output, Demand and Efficiency.

Program – A set of Activities that have a common purpose or result. Programs provide operational and performance information for strategic decision making.

Result Measure – A performance measure that assesses the impact or benefit customers receive from an Activity.



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Services – Services are the deliverables or products that the customer receives. Services are described as nouns, not verbs, thus defining services in terms of what the customer receives rather than in terms of what the department does.

Stakeholder – Any person or group with a vested interest in or with expectations of performance from an agency or Activity.

Strategic Coordinator – Coordinates, implements and manages the Managing for Results process and reports for the assigned Department.

Strategic Goal – Strategic Goals translate resources into significant Results to be achieved over the next two to five years, providing the basis for evaluating the Department as a whole.

Strategic Plan – A Strategic Plan sets forth the purpose, strategic goals, operational organization and performance expectations for a department. The Strategic Plan provides information to department staff, corporate decision makers, the Board and the public about how the department is organized to deliver results and what results the department is accountable for achieving. The Plan provides the opportunity for all department staff to see how they contribute at all levels in the organization.

Trend – In data analysis, a trend refers to the documented recurrence over time of a measurable event or circumstance that is increasing, decreasing or even staying the same. The size of the number of occurrences often determines whether the recurrences constitute a trend. If the number of recurrences is very small, such as number of floods in a year, it may take a number of years to document a trend in one direction or another. While a large number of events or occurrences, such as the number of court cases of a particular type, may reveal a trend within months or a few years.

Values – Values describe those concepts, attitudes, and beliefs that are most important. Collectively held values define an organization and help to distinguish some choices, goals, or hopes or the future as being more



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appropriate or correct than others. Value statements guide behavior in the workplace.

Vision – Describes what the future would look like if the Department achieved its Strategic Goals and fulfilled its Mission. The Vision should inspire action and be connected to operations.



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FACILITATING STRATEGIC PLAN CREATION

This section of the *Resource Guide* offers supplementary tips and guidance for facilitators involved in leading a Department through its first strategic planning experience utilizing the Managing for Results methodology. Please refer to the “Plan Update Procedures” section for guidance on reviewing and updating an existing strategic plan.

A variety of resources are available within the *Resource Guide* to assist the facilitator. Drawing on these resources, the facilitator(s) typically hold a series of planning sessions. The following offers an annotated sample agenda for a series of planning sessions and offers facilitation tips and guidelines. Generally, each session will run approximately four hours. Facilitators are encouraged to customize the agenda in consideration of the size of the Department, the number of planning participants, the participants’ knowledge of the Managing for Results system, and related organizational factors.

Preliminary Considerations

- Who will facilitate the planning sessions?
 - Each Department/Agency has designated a Strategic Coordinator. The Strategic Coordinator is involved in activities such as coordinating and facilitating strategic planning sessions and documenting the resulting products, clarifying and advising managers and employees on various phases of the Managing for Results system, collecting and reporting performance measurement data, etc.
 - The Strategic Coordinator will typically work with the Department Director/Elected Official in establishing the planning sessions' agenda and making facility arrangements. The Strategic Coordinator and Department Director/Elected Official must determine if the departmental Strategic Coordinator will serve as the facilitator for the planning sessions, or if assistance will be requested from another Department. It can be difficult for the departmental Strategic Coordinator to fully participate in the planning sessions if he/she is also facilitating those sessions. Facilitator(s) from outside of the Department can also bring an alternative perspective to the planning process.
 - A listing of departmental Strategic Coordinators is available on the Electronic Business Center (EBC) at ebc.maricopa.gov/mfr/pdf/CoordinatorList.pdf



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- Where will the planning sessions be held? Often a location away from the regular worksite enhances the planning process. Contact Organizational Performance and Training at (602) 506-7230 for assistance in locating and reserving meeting rooms.
- Who will be invited to participate in the planning sessions? Consider including the following:
 - Department Director/Elected Official
 - Key departmental Managers
 - Strategic Coordinator
 - Budget liaison
 - Departmental staff involved with Board of Supervisors' Agenda Items
 - Representative(s) from citizen advisory or community groups. If citizen advisory group participation does not seem feasible during the entire series of planning sessions, consider if there are specific sessions where advisory/community representation would be valuable or if there is another effective communication strategy where feedback and insights could be obtained and incorporated into the strategic planning process.



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Sample Strategic Planning Meetings Agenda

- **1st Session – Orientation**
 - Opening and Introductions
 - Overview of Managing for Results in Maricopa County
 - The “Introduction/Overview,” “Overview of Plan Elements,” and “Strategic Planning Development Chronology” sections of the *Resource Guide* can be useful as reference materials in designing the overview.
 - Overview of Department Strategic Planning timeline – Schedule of upcoming planning sessions
 - Review of roles and responsibilities of participants:
 - Participate in a business-like, product-oriented manner
 - Commit to attending all scheduled planning sessions
 - Come prepared
 - Be willing to contribute talents, skills and knowledge in a collaborative process
 - Be willing to assist in the facilitation of the planning process as scribe, recorder, timekeeper, etc., as needed
 - Adhere to any other ground rules agreed to by the planning participants
 - Discussion of Environmental Assessment
 - Research assignment – Environmental Assessment
 - Facilitator describes the Environmental Assessment process that will be conducted at the next planning session.
 - Departments are encouraged to use high-quality data in conducting the Environment Assessment. Participants should be requested to conduct research in advance of the next planning session.
 - What is happening in the business, statewide and nationally, that will affect the Department? Consider trends described by others in the line of business (trade journals, professional associations, conferences, etc.) and the potential impact such trends could have on the Department.
 - What does available information and data indicate about emerging issues and trends that will affect the Department’s business in key issue areas such as:



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- Economy
- Demographics and population
- Work force
- Politics
- State and Federal government funding and regulation
- Technology
- What do recent audits of the Department indicate could be improved?
 - Consider information from Customer Satisfaction Surveys;
 - Consider information from Employee Satisfaction Surveys.
- A variety of data may be available on the Internet. Facilitators may wish to review the listing of websites on page 18 of the *Resource Guide* and share applicable web addresses with the participants.
- Questions and answers
- Remind participants of date, time and location of next planning session, including the Environmental Assessment research assignment.



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- **2nd Session – Environment Assessment and Issue Statements**
 - Welcome
 - Review of planning session ground rules
 - Review and discuss the following, as needed, or develop team-specific ground rules:
 - How do participants need to interact with each other?
 - How will participants provide feedback about each other's ideas?
 - What method will be used to make decisions?
 - How will the group handle disagreements?
 - How will the group handle unresolved issues?
 - How will roles be assigned, such as scribe (note-taker), timekeeper, recorder, etc.?
 - It may be helpful to record and post the ground rules for reference by the participants.
- **ENVIRONMENTAL ASSESSMENT**
 - Utilize materials included in the “Strategic Elements of the Plan – Environmental Assessment” section of the *Resource Guide* as a framework for the Environmental Assessment process.
 - Solicit trends/issues from participants identified through their research assignment and record on flipchart or white board.
 - Number all of the issues and trends identified.
 - Ask each participant to identify the theme he/she feels will have the greatest impact on the Department.
- **ISSUE STATEMENTS**
 - Utilize materials included in the “Strategic Elements of the Plan – Issue Statements” section of the *Resource Guide* as a framework for designing Issue Statements.
 - Describe Issue Statements and their format to participants.
 - Ask each participant to write a one sentence Issue Statement that summarizes the issue or trend and the impact on the Department or its customers. An Issue Statement contains two parts: (a) Description of the major issue or trend; and (b) Description of its impact on the Department.



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- Allow about 15 minutes for participants to draft an Issue Statement.
- Instruct participants to indicate the number(s) of the issue/trend they feel are included within their Issue Statement.
- Begin the discussion by asking one participant to share his/her Issue Statement. Post it on a flipchart/white board.
 - Ask if anyone else worked on the same issue. Engage those who worked on the same issue/trend, as well as the other participants, in articulating the Issue Statement. Continue to the point where there is consensus on the issue and its impact.
- Continue this process until all major issues/trends have been articulated.
- **Check Issue Statements against key criteria provided on page 20.**
- Ensure that Issue Statements are recorded and documented.
- Questions and answers.
- Thank participants for their contributions and remind them of the date, time and location of the next planning session.



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- **3rd Session – Strategic Goals, Mission/Vision and Values**
 - Welcome
 - Remind participants of work product resulting from last session
 - Environmental Assessment; and
 - Issue Statements
 - Advise that this session will cover the remaining strategic elements of the strategic planning process: Strategic Goals, Mission/Vision, and Values.
- **STRATEGIC GOALS**
 - Utilize materials included in the “Strategic Elements of the Plan – Strategic Goals” section of the Resource Guide as a framework for developing Strategic Goals.
 - Describe Strategic Goals and their format to participants.
 - Review the Issue Statements and discuss how the Department intends to address them in a proactive and anticipatory manner.
 - Based upon the analysis, write Strategic Goals:
 - Ask each participant to choose the one Issue Statement about which they feel the most strongly.
 - Based on his/her selected Issue Statement, ask each participant to draft a Strategic Goal that meets the format criteria. (Allow 15 minutes.)
 - Begin the discussion by asking one participant to share his/her Strategic Goal. Others who chose the same Issue Statement will be identified and they will also share their Strategic Goals.
 - As a group, participants will discuss the draft Strategic Goals and come to consensus on the wording of any final Strategic Goals.
 - Continue the process until all Issue Statements selected by participants have been articulated and considered.
 - Review Strategic Goals from any previous plans:
 - Determine whether any are still relevant.



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- If so, review and revise as necessary.
- **Check Strategic Goals against key criteria provided on page 23.**
- Ensure that Strategic Goals are recorded and documented.
- **MISSION STATEMENT**
 - Utilize materials included in the “Strategic Elements of the Plan – Mission Statement” section of the Resource Guide as a framework for developing the Mission Statement.
 - Describe the Mission Statement and its format to participants.
 - Encourage participants to consider the existing Mission of the Department, as well as the future direction of the Department, the information derived from the Environmental Assessment, Issue Statements, and Strategic Goals.
 - Formulate the Mission Statement utilizing the Managing for Results template.
 - Use two flip charts – one to capture ideas, words and phrases; the other to “fill in the blanks” in the template as consensus is reached.
 - Strive to create a Mission Statement that is neither too broad nor too narrow in scope. One that is too broad may be too general to be meaningful. One that is too narrow may limit the organization’s ability to meet emerging, competitive demands. Both types fail to communicate effectively to either internal or external customers.
 - Write the finalized Mission Statement on a flip chart.
 - **Check Mission Statement against key criteria provided on page 26.**
 - Before closing discussion, confirm that all participants can endorse the Mission Statement.
- **VISION STATEMENT**



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- Utilize materials included in the “Strategic Elements of the Plan – Vision” section of the Resource Guide as a framework for developing the Vision Statement.
- Describe Vision Statements to participants.
- Have group determine if the Department will create a Vision Statement.
 - Does group prefer to use Maricopa County’s Vision Statement?
(“Citizens serving citizens by working collaboratively, efficiently and innovatively. We will be responsive to our customers while being fiscally prudent.”) If so, document the decision.
 - If group determines that a customized Vision Statement is appropriate for the Department,
 - Review the Environmental Assessment and Issue Statements.
 - Review the Mission Statement.
 - Review the Strategic Goals to ensure that the Vision is tied to the Department’s operations.
 - Solicit suggested Vision Statement wording from the group and refine until consensus is reached.
 - Document shared Vision Statement.
- **VALUES**
 - Utilize materials included in the “Strategic Elements of the Plan – Values” section of the *Resource Guide* as a framework for articulating Values.
 - Describe Values Statements to participants.
 - Review the County Stewardship Statement with participants:

Share information and empower others for the overall good of Maricopa County
Trust and encourage others

Exercise collaborative decision-making

Willing to be a guardian of the public’s trust

Act timely to obtain results

Relentless dedication to providing total customer service

Dare to take prudent risks to promote continuous improvement

Set examples of leadership daily

Honor public service with integrity beyond reproach

Inspire yourself and others to achieve the common vision



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Praise and recognize others and yourself for positive achievements

- Have the group determine if the Department wishes to adopt the County Stewardship Statement or to customize a Department-specific Values Statement.
- Ensure that Values Statement is recorded and documented.
- Explain that the group has completed the strategic elements of the strategic planning process. It may be helpful to review the “Strategic Planning Development Chronology” graphic on page 16 of the *Resource Guide* and identify for participants those elements that have been completed.
- Advise participants that the remaining planning sessions will address the operational elements of the plan: Services, Activities, Performance Measures, and Programs.
- Questions and answers.
- Thank participants for their contributions and remind them of the date, time and location of the next planning session.



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- **4th Session – Services Inventory and Activities**
 - Welcome.
 - Remind participants that through their previous planning sessions, they have completed the strategic elements of the planning process. The remainder of the sessions will address the operational elements of the plan.
 - **SERVICES INVENTORY**
 - Utilize materials included in the “Operational Elements of the Plan – Services Inventory” section of the Resource Guide as a framework for conducting the Services Inventory.
 - Thoroughly define a “Service” for the participants, providing several examples, and share the criteria for a “Service” as listed on page 32.
 - Ask each participant to identify and list one Service from his/her area in the organization on a flip chart. Typically, during this process, one or more participants will identify administrative Services produced within the Department relating to budgetary, financial, personnel, IT, etc. support services.
 - At this juncture, advise participants that standardized Administrative Services and IT Programs have been developed on a variety of internal administrative and support services. The Administrative Services Program is included within every Department plan. Departments with an independent IT presence also have the standardized IT Program included within their plans.
 - Copies of the Administrative Services Program and the IT Program, if applicable, may be distributed to participants for their review and reference. See Appendices A and B.
 - Have the group review the complete list compiled by the participants and rephrase, as necessary, so that every item meets the criteria for a Service.
 - Ask participants to identify and list all additional Services they can think of on “Post-It” notes – one Service per “Post-It”. Ask participants to post the materials at a designated location.



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- **Check each Service against key criteria provided on page 32.**
- **ACTIVITIES**
 - Utilize materials included in the “Operational Elements of the Plan – Activities” section of the Resource Guide as a framework for delineating Activities.
 - Describe the purpose of grouping Services into Activities.
 - Select one Service identified during the Service Inventory. Ask participants to identify other Services that have been listed that share a common purpose.
 - Continue to group Services until all Services have been assigned to a grouping.
 - Review groupings with participants against considerations offered on pages 34 and 35 of the *Resource Guide*.
 - Ask participants to name each grouping with a meaningful title and to summarize the Services listed within the Activity grouping into a noun phrase. (This helps ensure that all Services within the Activity have a common purpose.)
- **Check Activity groupings against key criteria on page 35.**
- For each Activity grouping, facilitate the creation of Activity Purpose Statements.
 - Describe the purpose and format of Activity Purpose Statements.
 - Use two flip charts throughout the process – one with the template language posted; the other for posting key ideas, words and phrases that emerge during the brainstorming discussion. As consensus is reached, fill in the appropriate blank of the template. Continue with this approach until Activity Purpose Statements have been created for each Service grouping.
- **Check Activity Purpose Statements against key criteria on page 37.**
- Ensure that all Activity Purpose Statements are recorded and documented.



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- Explain that the next phase of the operational planning phase involves establishing Performance Measures for each Activity. Describe the role of an Activity Leader. Solicit the name of the appropriate Activity Leader for each Activity. Determine if there are Activity Leaders who have not been among the core group of departmental participants within the planning process. If so, recommend to Department Director/Elected Officials that the remaining planning sessions include all core participants plus identified Activity Leaders who have not participated previously.
- Advise Activity Leaders who are in attendance of assignment due prior to next planning session. [Ensure that additional Activity Leaders, if any, are notified of the next planning session date, and are provided with the Service Inventory assignment.]
 - Each Activity Leader must compile a Service Inventory. The inventory should include the Activity Name and a listing of each Service. For each Service, Activity Leaders should provide a description/guidelines for the types of expenditures that would be charged to the Service, and an indication of whether or not the Service is mandated. If the Service is mandated, the Activity Leader must cite the mandating legislation. See sample format below.
 - Activity Leaders may seek input from staff members who work with the Activity. Should additional Services be identified during this process, the listing generated during the planning session may be augmented.
 - Sample Service Inventory format:

Activity/Service	Description/ Guidelines	Output	Mandated?	
			No	Yes If "Yes," cite mandate
Financial Services Activity	The purpose of the Financial Services Activity is to provide general accounting reporting for the department management so they can meet their financial obligations and manage their financial operation in support of their mission.		X	
Billings	Document produced by departmental finance staff (Form 83-100). Includes researching, preparing, mailing and/or approving billings for services or per IGA's to other entities. Includes filing, follow-up, phone calls and all steps necessary to complete a transaction.	# of billing documents	X	



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	Description/ Guidelines	Output	Mandated?	
Cash receipts	Form 83-200 distributed to clients in acknowledgement of cash received. Includes researching, preparing and/or approving cash receipts and deposits to either the Treasurer or depository accounts, filing, follow-up, phone calls, reconciliation to Advantage and all steps necessary to complete a transaction.	# of 83-200 forms completed	X	
Journal Voucher entries	Includes research, preparation, approval and/or data input of journal voucher entries. Journal voucher transactions include filing, follow-up, phone calls, reconciliation to Advantage and all steps necessary to complete a transaction.	# of Journal Voucher entries completed	X	
Petty cash transactions	Cash (\$25 or less) distributed to employees in reimbursement for the use of personal funds for office supplies. Includes researching, preparing, maintaining and/or approving petty cash transactions, filing, follow-up phone calls, reconciliation to Advantage and all steps necessary to complete a transaction.	# of petty cash transactions	X	

NOTE: It may be helpful to provide a blank template to Activity Leaders for their reference and/or to forward an electronic version of the template to each Activity Leader following the session.

- Activity Leaders should be requested to bring two copies of the Services Inventory to the next planning session: one will be provided to the Facilitator; the other will be retained by the Activity Leader for reference during the next planning session.
- Questions and answers.
- Thank participants for their contributions and remind them of the date, time and location of the next planning session. Remind Activity Leaders of their Services Inventory assignment.



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- **5th Session – Performance Measures**
 - Welcome
 - Remind participants of work product resulting from last session
 - Services Inventory
 - Activity Groupings and Activity Purpose Statements
 - Collect one copy of the Services Inventory from each Activity Leader
 - Utilize materials included in the “Operational Elements of the Plan – Performance Measures” section of the *Resource Guide* (pages 38 through 42) as a framework for thoroughly describing and training participants in the concepts of Performance Measurement.
 - Identify one Activity Purpose Statement and lead the group through the process of creating a Family of Measures. Be sure to check the resulting Family of Measures against the key questions delineated throughout the “Operational Elements of the Plan – Performance Measures” section of the *Resource Guide*.
 - Identify a second Activity Purpose Statement and lead the group through the process of creating a Family of Measures. Again, be sure to check the resulting Family of Measures against the key questions.
 - Depending on the number of Activities identified during the previous planning session, several strategies may be utilized:
 - Continue through all Activities as a group and create Families of Measures; or
 - Divide participants into groups and request each group to develop a Family of Measures for assigned Activities; or
 - Ask Activity Leaders to develop a Family of Measures prior to the next scheduled planning session.
 - If additional Families of Measures are created during the session, ask the Activity Leader to present the information. In each instance, be sure to check the Family of Measures against the key questions.
 - Ensure that Families of Measures are recorded and documented.



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- Encourage participants to share the work they have done during the session with employees who contribute to the Activity and to seek input and suggestions.
- Advise participants that at the final session, each Activity Leader will be asked to share his/her work product with the group.
- Advise Activity Leaders that for each Performance Measure, they must also document the calculation methodology and the data source that will be used to extract the information. This requirement assists the Activity Leaders in ensuring that the Performance Measures are clearly worded and that there is a documented strategy for obtaining the data.
 - Example:
 - Result Performance Measure: “% criteria met for Fiscal Fitness Award”
 - Calculation: Number of Fiscal Fitness Award criteria achieved by Department divided by total number of established criteria.
 - Data Source: OMB records and logs
- Questions and answers.
- Thank participants for their contributions and remind them of the date, time and location of the next planning session.



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- **6th Session – Programs**
 - Welcome
 - Utilize materials included in the “Operational Elements of the Plan – Programs” section of the *Resource Guide* (pages 43 through 45) as a framework for facilitating the process of developing Programs.
 - Ask each Activity Leader to present his/her Activity, including the Activity Purpose Statement and Family of Measures. Encourage feedback from participants – particularly to ensure that Activity Purpose Statements and Families of Measures meet all key criteria. After all Activities have been reviewed and refined, work with the participants to group Activities into Programs.
 - Describe Programs and their format to participants.
 - Once all Activities have been grouped, solicit a name for each grouping of Activities. This will serve as the Program name.
 - Post the Strategic Goals alongside the groupings of Activities and solicit responses to the following questions:
 - Is each Program arranged around a common purpose? Is the common purpose one of results experienced by the customer, rather than process?
 - Are all of the Department’s operations included within the Programs?
 - Does the configuration of Activities and Programs move the Department toward achieving Strategic Goals?
 - Does each Strategic Goal have one or more Programs delineated that directly and significantly support achieving the Strategic Goal?
 - Once there is consensus among the participants regarding the grouping of Activities, proceed to develop a Program Purpose Statement for each Program utilizing the Managing for Results template.
 - **Check Programs against key criteria on pages 44 and 45.**
 - Identify key Result Measure(s) for each Program. For each Program, review the Purpose Statement. Then, review the Result Measures for all Activities within the Program.



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- Ask participants to select at least one Result Measure from among the Activities within the Program to serve as the Key Result Measure for the Program.
- Continue until a Key Result Measure has been identified for each Program.
- Ensure that all Program Purpose Statements and key Result Measure(s) are recorded and documented.
- Congratulate participants for their contributions. Review the “Strategic Planning Development Chronology” graphic (page 16). Advise that they have successfully completed the development process.
- Advise group of next steps:
 - Designated individual will finalize plan document.
 - Document will be submitted to the Office of Management and Budget for a four-level review: Technical, Structural, Content and Corporate Review Committee meeting. (See pages 46 through 48) of the *Resource Guide* for additional details on the review process.
 - Once the plan has been accepted, it will be published on the Electronic Business Center (EBC) via <http://www.maricopa.gov/cio/mfr/viewOnly.asp> and the Finance Department will assign PAS (Program, Activity, Service) codes. PAS codes are used by Departments in attributing and tracking costs to specific Services and/or Activities. For a current listing, please access the Finance Department website at http://ebc.maricopa.gov/finance/pdf/PAS_Codes_FY03.pdf.
- Suggest that group convene to discuss and develop communication strategies to share the plan with all Department employees.



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PLAN UPDATE PROCEDURES

Maricopa County's *Strategic Planning Resource Guide* was originally developed in the summer of 2000. Following comprehensive training sessions, County Departments, Special Districts, and the Judicial Branch developed and refined strategic plans throughout fiscal years 2000-2001 and 2001-2002. In recognition of the dynamic environment and business climate within which the County operates, it was always envisioned that strategic plans would be living documents requiring periodic changes and updates. The purpose of this section of the *Resource Guide* is to document strategic plan update procedures.

Preliminary Considerations

Who participates in the review and update?

- At a minimum, the Department Strategic Coordinator, Director/Official, and all Activity Leaders should participate.
- Departments may also want to consider including other key personnel who are familiar with the Department plan, such as
 - The Departmental budget liaison;
 - Departmental staff involved in creating Board of Supervisors' agenda items;
 - Representative(s) from citizen advisory or community groups.

Who facilitates the planning session(s)?

Each Department/Agency has identified a Strategic Coordinator. The Department Director/Elected Official and Strategic Coordinator must determine if the departmental Strategic Coordinator will serve as the facilitator for the planning session(s), or if assistance will be requested from another Department. It can be difficult for the departmental Strategic Coordinator to fully participate in the session(s) if he/she is also facilitating. A listing of departmental Strategic Coordinators is available on the Electronic Business Center (EBC) at ebc.maricopa.gov/mfr/pdf/CoordinatorList.pdf.

Where are the planning session(s) held?

Often a location away from the regular worksite enhances the planning process. Contact Organizational Performance and Training at 602.506.7230 for assistance in locating and reserving meeting rooms.



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How much time is involved in the update process?

The time involved in reviewing and updating a Strategic Plan may vary depending on the size of the Department, complexity of the Plan, scope of changes that may have occurred in the Department's business climate, and related organizational factors. Since each Department has already created a Strategic Plan using the Managing for Results principles, it should not be as time-consuming to update as it was to create the Plan.

1. The basic steps and principles remain the same. The steps include:
 - Conducting an Environmental Assessment;
 - Reviewing and updating Issue Statements for continued relevance;
 - Reviewing and updating Strategic Goals;
 - Validating the Mission and Vision Statements;
 - Reviewing, updating, and defining Services; and
 - Reviewing and updating Activities and Programs, including reviewing and validating Performance Measures.
2. Consider making a number of pre-meeting assignments that may expedite the update process, including
 - Asking all participants to thoroughly review the current plan prior to the first scheduled meeting;
 - Asking all participants to conduct research prior to the first scheduled meeting in preparation for updating the Environmental Assessment. Departments are encouraged to use high-quality data from a variety of sources. The Environmental Assessment should not be based on hearsay or anecdotes.
 - Ask participants to consider trends described by others in the line of business (trade journals, professional associations, etc.) and the potential impact such trends could have on the Department. What does available information and data indicate about emerging issues and trends that will affect the Department's business in key issue areas such as:
 - Economy
 - Demographics and population
 - Work force
 - State and Federal government funding and regulation
 - Technology



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3. Activity Leader to compile the following prior to the first scheduled meeting:
 - Service Inventory for all Services currently contained within the Activity. A sample template for the inventory is available in the *Resource Guide* in the section titled “*Facilitating Strategic Plan Creation*”. Activity Leaders should be encouraged to recommend additions, deletions or revisions to the listing of Services. However, a description (including mandate information) should be provided for all Services recommended for inclusion in the revised plan.
 - The calculation methodology and data source for each current performance measure. Activity Leaders should be encouraged to recommend improvements to performance measurements currently included within the Plan. However, the proposed calculation methodology and data source should be provided for each performance measure recommended for inclusion in the revised plan.
4. Completion of these pre-session assignments will significantly expedite the update process and may enhance the quality of the revised Strategic Plan. Key personnel will have reviewed and considered a variety of information in advance of any planning session(s) and will have had an opportunity to seek input and suggestions from staff members who contribute to the Activity.

Environmental Assessment and Issue Statements

Purpose:

An Environmental Assessment analyzes and articulates the issues and trends that will have a major impact on the Department and its customers over the next two to five years. The Environmental Assessment is based on data-supported information from a variety of sources and professional judgments that describes changes anticipated from inside and outside the Department.

An Issue Statement summarizes the issues and trends that will have a major impact on the Department and its customers over the next two to five years. Writing Issues Statements requires a review of the relationship between the internal and external issues and trends identified through the Environmental Assessment and synthesizing that information into concise statements of impact.



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Methodology:

- 1. Review information gathered during the original Environmental Assessment, if available.**
 - Is the information still valid?
 - Have any of the environmental factors changed? How will these changes affect the Department?
- 2. Based on the research conducted prior to the meeting, identify new environmental factors that have emerged.**
 - Identify both internal and external issues and trends
 - How will these new factors affect the Department?
- 3. Ask Probing Questions**
 - What do others in the business (trade journals, professional associations, etc.) indicate may have implications for the Department?
 - What does information and data tell the Department about emerging issues and trends (at local, state or national levels) that will affect the Department's business in key issue areas such as:
 - Demographics and population
 - Economy
 - Work force
 - Politics
 - State and Federal government funding and regulation
 - Technology
 - Traffic
 - Recreation
 - Environment
 - Does the Department know who its customers are and how their needs will change in the future? What implications do those changes have for the Department? What do customer satisfaction surveys tell the Department about how its performance is perceived and valued? Departments are strongly encouraged to use existing customer satisfaction surveys (if available) to determine what customers want and if their needs are being met. Contact Research and Reporting for information or assistance.
 - How does the Department's performance compare to its peers in other jurisdictions who are in the same business? Is the Department in a competitive market place? Are there other



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organizations that can do what the Department does? Do they or will they want the business?

- What do previous assessments conducted by the Department indicate about issues and trends internal to the Department?
- Which issues and trends previously identified are still relevant?
- How has the Department performed in achieving its Results measures? What does that tell the Department about what will need to be done differently in the future?
- What is known about the work force? How will it change or need to change in the future?
- What technology challenges does the Department face?
- Is the organizational culture focusing its beliefs, behaviors and language on managing for results? What challenges does the Department face in getting there?
- What do employee satisfaction surveys tell the Department about how the Department's performance is perceived and valued?
- Is the Department's organizational structure designed to achieve results?
- What are the strengths and limitations of the Department?

4. Review Issue Statements contained in current Strategic Plan. Are any still relevant? Do any require revision or rewording?

5. Review updated Environmental Assessment and determine if additional Issue Statements should be generated.

- In designing or revising Issue Statements, remember that an Issue Statement contains two parts:
 - Description of the major issue or trend; and
 - Description of its impact on the Department.

6. Check Issue Statements against key criteria:

- Do the Issue Statements incorporate both internal and external emerging issues and trends?
- Have any important trends been omitted?
- Are the Issue Statements expressed clearly so managers can easily talk about them with employees?
- Are the Issue Statements expressed as facts and expected impact, rather than action statements or recommendations?
- Are the Issue Statements based upon good data or on the sound professional judgment of staff?



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- Are the Issue Statements clearly stated, i.e., without jargon so that the public can understand them?
- Are there no more than eight statements so that they can be easily communicated?

Strategic Goals

Purpose:

Strategic Goals state significant results to be achieved over the next two to five years. They express, in terms of results, what the Department must do to proactively respond to the major issues facing the department as expressed in the Issue Statements.

Methodology:

1. Review existing Strategic Goals

- Ask probing questions:
 - Are goals results-oriented and long term (2-5 years)?
 - Are they descriptive and specific?
 - Are they focused on the customer or on improving the Department?
 - Do they represent future achievements that transcend or go beyond current practice and the status quo?
 - Do they have specific, achievable results?
 - Can they be accomplished through Activities and Programs?
 - Are they measurable directly, or indirectly, through Activities and Programs?
 - Has the Department already achieved some of its goals? If yes, were they too easy? If no, is the Department making progress toward them or were they unrealistic?
- Make corrections/revisions as needed.

2. Based on updated Environmental Assessment, determine what additional Strategic Goals should be incorporated into the updated Strategic Plan.

3. Check each Strategic Goal against key criteria:

- Is the Goal measurable, directly or indirectly?
- How will the Department know that they have achieved the Goal?
- Is the Goal results oriented and focused on the future (two to five years)?
- Is there a clear relationship between the Goal and one or more Issue Statements?



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- Does accomplishment of the Goal represent significant change and/or effort on the part of the Department?
- Is the Goal reasonably achieved through one or more Programs?
- Are the Goals that focus on building internal capacity kept to a minimum? Routinely, Department's Mission Statements focus on the external customer. As a result, a Department would not typically have more than one Strategic Goal related to building internal capacity.
- Taken together, do all of the Goals provide a way to evaluate the Department as a whole?

Validate Mission and Vision Statements

Purposes:

The Department's Mission is a clear, concise statement of purpose for the entire Department. The Mission focuses on the broad, yet distinct, results the Department will achieve for its customers.

The Department's Vision describes what the future would look like if the Department achieved its Strategic Goals and fulfilled its Mission. The Vision should inspire action and be connected to operations.

Methodology:

1. Review current Mission.

- Mission Statements tend to be fairly enduring and stable. As a result, it is anticipated that most Departments will not make significant changes.
- Please ensure that if the Department wishes to revise its Mission Statement that it continues to conform to the Mission Statement template:
"The Mission of the _____ (Department Name) _____ is to provide/produce _____ (Summary of products/services) _____ to/for _____ (specific customer or customer group) _____ so that they can _____ (results/benefits experienced by customer(s)) _____."

2. Review current Vision.

- Creation of a department-specific Vision Statement is optional. If the Department Strategic Plan does not include a Vision, the following options are available:
 - Take this update opportunity to craft a department-specific Vision Statement; or



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- Utilize the Maricopa County Vision Statement: *“Citizens serving citizens by working collaboratively, efficiently and innovatively. We will be responsive to our customers while being fiscally prudent.”*

Service Inventory

Purpose:

A Service Inventory is a compilation of deliverables or products that the customer receives. Services are specific products or completed efforts that are provided to an internal or external customer. They are distinct from processes in that they represent deliverables to the customer. Services are described as nouns, not verbs, and should be quantifiable. They describe what the customer receives, not what the Department does or how the Department produces the deliverable.

Methodology:

1. Review and Update Services within each Activity

- Activity Leaders were requested to compile an updated Service Inventory in advance of the first planning session.
- Confirm that Services have been reviewed and revised as appropriate. Ensure that each Service has been described/defined and that the mandate information has been provided.

2. Check each Service against key criteria:

- Is each Service a discrete thing, the deliverable, that the customer receives?
- Is there an identifiable customer who receives the Service?
- Is it expressed as a noun or noun phrase?
- Is it measurable as a count of something? Services are Outputs that when measured, are described as “# of ____ (Service units) ____ delivered.”
- Does it represent the end product or deliverable, rather than an action engaged in prior to actually delivering the product to the internal or external customer?
- Is it identified at the appropriate level, in terms of scope, in the organization?
- Do the Services account for all departmental revenues/expenditures?



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Activities:

Purpose:

Activities represent one or more Services with a single summarized or representative output directly related to a common purpose or result. Activities may include Services to the public or to internal customers within the Department. Activities are managed at the service delivery level and form the “building blocks” of the Strategic Plan. Defining Activities in a manner that supports results-oriented management ensures that the Department and its employees understand why they are doing what they are doing in terms of benefits to clearly identified customers. An Activity is comprised of:

- A set of Services with a common purpose or result;
- A single summarized or representative output
- An Activity Purpose Statement; and
- A Family of Measures

Methodology:

1. Confirm Services grouped within Activities:

- Do the Services that are listed under each Activity actually contribute to the Activity?
- Can Service level outputs be summarized or represented by a single Activity level output?
- Will the grouping of Services into Activities provide the performance information needed to manage?

2. Check Activity Purpose Statements against key criteria:

- Does each Activity Purpose Statement conform to the template language of, “*The purpose of the _____(Name)_____ Activity is to provide _____(summary of services provided)_____ to/for _____(specific customer or customer group)_____ so that they can _____(results/benefits experienced by customer(s))_____.*”?
- Is it clear who receives the direct benefit of the Activity?
- Is the “service” listed in the Purpose Statement a summary compilation, not an itemized listing, of the Services within the Activity?
- Is there one result measure and one output measure that relates directly to the “desired benefits” of the Activity?
- Is the “planned benefit” stated in terms of results?
- Does the Purpose Statement relate to the results for which the Department is striving?



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- Does this grouping of Services that comprise this Activity make sense?
- Given the Activity described, can a budget be organized and costs be allocated meaningfully?

Performance Measures:

Purpose:

Performance Measures define the information that management needs to manage. Performance Measures are tied directly to the operations of the department, i.e., Activities and Services. The four categories of measures include Result, Output, Demand and Efficiency measures. The Family of Measures, taken as a whole, should provide the appropriate context for understanding how a particular Output relates to the Demand being experienced, Results achieved and the Efficiency with which the Output or Result is produced. A single measure cannot tell the whole story. By designing a congruent Family of Measures, Departments are able to demonstrate a variety of organizational dynamics. For example, Results may not be achieved because Demand is not being met. Or, Results have been achieved, but Efficiency is very low – meaning that the Results have been achieved at a very high cost to the public.

Methodology:

1. Review and Update Performance Measures:

- Activity Leaders were requested to review and offer recommended revisions to Performance Measures prior to the planning session. For each recommended Performance Measure, Activity Leaders were also asked to define the calculation methodology and data source.

2. Review each Performance Measure against key criteria:

- Are the performance measures listed for the Activity still relevant and useful in making management and budget decisions?
- Is there a congruent Family of Measures for each Activity?
- Are the Performance Measures:
 - Relevant – logically and directly related to the Department and the Activity?
 - Understandable – communicated in a clear manner with no jargon or acronyms?
 - Consistent – used uniformly in the planning, budgeting, accounting and reporting systems?



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- Comparable – provide a clear frame of reference for assessing performance over time to demonstrate performance trends?
- Timely – available to users before the information loses its value in assessing accountability and making decisions?
- Reliable – derived from systems that produce controlled and verifiable data?
- Does each Result measure align with the “results/benefits” reflected in the Activity Purpose Statement?
- Does the Result measure assess impact, not process?
- Does the Output measure make a critical contribution to calculating Efficiency measure within the same Family of Measures?
- Does the Demand measure correspond to the Output measure developed for the Activity?
- Does the Efficiency measure demonstrate the cost per Output and/or Result?
- Has the calculation methodology and data source been identified for each Performance Measure?

Programs and Key Result Measures:

Purpose:

A Program is a grouping of one or more Activities that, while producing different types of outputs, are all directed to achievement of the same overall result. Programs are described in clear, results-oriented terms in a Program Purpose Statement; are aligned with the Department’s Mission and Goals, as well as with Activities; contain performance measures that measure the impact on the customers; represent the level at which broad policy and budgetary decisions are made; and encompass all of the Department’s operations.

Methodology:

1. Review and validate Programs.

- Is each Program arranged around a common purpose? Is the common purpose one of results experienced by the customer, rather than process?
- Are all of the Department’s operations included within the Programs?
- Does the configuration of Activities and Programs move the Department toward achieving Strategic Goals?
- Does each Strategic Goal have one or more Programs delineated that directly and significantly support achieving the Strategic Goal?

2. Review each Program against key criteria:



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- Does each Program Purpose Statement conform to the template language of, “The purpose of the _____(Name)_____ Program is to provide _____(summary of services provided)_____ to/for _____(specific customer or customer group)_____ so that they can _____(results/benefits experienced by customer(s))_____.”?
- Does each Program Purpose Statement describe the Program in terms similar to what the general public uses (i.e., no jargon, no acronyms, etc.)?
- Is there only one (or possibly two) key customer(s) identified?
- Is the “summary of services” a summary, not a listing, of the services provided through the Activities grouped together in the Program?

3. Identify at least one key Result Measure for each Program.

- Review the Purpose Statement for the Program.
- Review the Result Measures for all Activities within the Program
- Select at least one Result Measure from one of the Activities within the Program as the key Result Measure for the Program or create a new result measure that corresponds directly to “benefits experienced” line of the Program Purpose Statement.

Finalizing the Strategic Plan Document

- Document all revisions identified through the planning process.
- The Office of Management and Budget (OMB) issued a Budget Administration Memo to advise Departments of the specific format and process utilized to submit revised Strategic Plans.
- Each revised Strategic Plan undergoes a multi-phase review process, as follows:
 1. Technical Review: Utilizing a uniform checklist, OMB analysts conduct a review of each submission to ensure its completeness and that the most basic plan components are included.
 2. Structural Review: Using standard criteria, OMB analysts perform in-depth reviews of each plan element; i.e., Issue Statements, Strategic Goals, Mission/Vision, Services, Activities, Performance Measures, and Programs.
 3. Content Review: Using a short list of criteria, OMB analysts review each plan at a holistic level to determine if the Activities and Programs



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delineated facilitate the Department's capacity to reach its strategic goals.

4. Corporate Review Committee Meeting: All newly created and significantly revised Strategic Plans are submitted to a corporate-level review team. The Committee meets with Departments and discusses newly created and/or materially revised Strategic Plans. The Committee resolves any outstanding concerns that may have arisen during the first three phases of the review and either accepts, denies, or defers acceptance pending additional refinements to Plans.
- Following completion of the review process, OMB and Finance Department will work with departments to determine if any revisions are required to the PAS code allocations. PAS (Program, Activity, Service) codes are used by departments to charge and track costs through the Advantage financial system and allocate dollars in the Adaytum budget system. For a current listing of PAS codes, access the Finance Department website at http://ebc.maricopa.gov/finance/pdf/PAS_Codes_FY03.pdf.



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APPENDIX A

Program Name	ADMINISTRATIVE SERVICES PROGRAM	
Program Purpose	The purpose of the Administrative Services Program is to provide standardized performance data on a variety of internal administrative and support services for County departments and the Board of Supervisors so they can conduct benchmarking analyses and track program performance and costs.	
Key Results	<ul style="list-style-type: none"> • % expense variance in annual budget • % of departmental turnover • % satisfied customers 	
Activity Name	Budgeting Activity	
Activity Purpose	The purpose of the Budgeting Activity is to produce an annual budget request and related consultative services to department leadership so they can make informed program and budgeting decisions while staying within their approved budget.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Management consultations • Position Requests • Budget Adjustments 	<ul style="list-style-type: none"> • Budget preparation • Budget variance analyses and projections
Performance Measures	Result: % expense variance in annual budget Result: % criteria met for Fiscal Fitness Award Result: % revenue variance in annual budget Result: % expenditure variance by program (initiate FY 03/04) Output: # dollars expended by Department Demand: # approved Department budget dollars Efficiency: \$ cost per budgeted dollar (initiate FY 03/04)	
Activity Name	Financial Services Activity	
Activity Purpose	The purpose of the Financial Services Activity is to provide general accounting reporting for the department management so they can meet their financial obligations and manage their financial operation in support of their mission.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Capital projects accounting • Cost allocations • Journal Voucher entries • Reconciliations • Billings • Cash receipts • Grant accounting 	<ul style="list-style-type: none"> • Accounts receivable • General Fixed Assets accounting • Petty cash • Accounts payable • Financial analyses • Financial/management reports • Year-end closing packages
Performance Measures	Result: % of fixed asset compliance Result: % of discounts taken Efficiency: \$ cost per Financial Services Activity costs	



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Activity Name	Human Resources Activity	
Activity Purpose	The purpose of the Human Resources Activity is to provide human resources transactional and/or consultative support to department management so that they can hire, manage and retain a qualified and productive workforce.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Commute Options services • Curriculum designs • Hiring services • Market Study Requests • Employee Training Classes • Workers' Compensation Claims • Employee relations • Employee Suggestion evaluations 	<ul style="list-style-type: none"> • Training presentations • Technologist IT training • Ergonomic Requests • Payroll services • Salary Advancement Requests • Tuition Reimbursement forms processing • Performance Management Program Administration Services
Performance Measures	<p>Result: % of departmental turnover</p> <p>Result: % turnover within the first six months of hire</p> <p>Result: % of grievances resolved within the prescribed time at the dept level</p> <p>Result: Average % of salary advancements given</p> <p>Output: # of outside courses/conferences/seminars attended</p> <p>Output: # of empl (unduplicated) attending outside courses/conferences/seminars</p> <p>Output: # of dept employees (unduplicated) attending dept-sponsored courses</p> <p>Output: # of Workers' Compensation claims filed</p> <p>Output: # of days lost due to workplace injury</p> <p>Output: # of grievances submitted within department</p> <p>Output: Total \$ cost of outside training</p>	
Activity Name	Office of the Director/Official Activity	
Activity Purpose	The purpose of the Office of the Director Activity is to provide the leadership, strategic direction, and administrative support to the employees of the department so they can produce the results necessary to achieve their departmental mission.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Agenda Item reviews • Corporate Initiative meetings • Departmental files management • Facilities Mgt Dept coordination services • Legislation research and analysis • Public communication materials/events • Calendaring • Correspondence preparation • Administrative reports • Citizen Board and Commission support 	<ul style="list-style-type: none"> • Correspondence review and dissemination (mail) • Customer service • Departmental policies and procedures • Employee communication materials/events • Strategic planning documents and reports • IT coordination services • Telecommunications coordination services



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Performance Measures	Result: % satisfied customers Result: % dept employees reporting satisfaction with employment in department Result: % dept employees reporting agreement with mgt practices of Dept Mgmnt Result: % Department Goals achieved Result: % Key Program Results achieved Efficiency: Administrative Services Program as a % of total Department budget	
Activity Name	Procurement Activity	
Activity Purpose	The purpose of the Procurement Activity is to provide materials management services and technical expertise to department staff so they can obtain the services and commodities they need to fulfill their mission.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Commodities (supplies, equipment, parts, etc.) • Consultation sessions • Contract monitoring • Service providers 	<ul style="list-style-type: none"> • Reports (status/tracking, pricing, vendors, specs, etc.) • Warehousing / Inventory Services • Contract vendors • P-card Support Services
Performance Measures	Result: % transactions completed electronically Result: % transactions procured using existing contracts Efficiency: Purchasing cost per dollars purchased	
Activity Name	Risk Management Activity	
Activity Purpose	The purpose of the Risk Management Activity is to provide loss prevention and claims processing for the Department so they can reduce or eliminate losses and claims.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Loss control/compliance inspections • Injury and accident investigations • Injury, accident and loss forms and reports 	<ul style="list-style-type: none"> • Safety meetings • Supervisor Training in Accident Reduction Techniques (START) training classes
Performance Measures	Result: % reduction/increase in accident rates Result: % decrease/increase in # of claims	



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APPENDIX B

Program Name	INFORMATION TECHNOLOGY PROGRAM	
Program Purpose	The purpose of the Information Technology Program is to provide IT leadership and services to the client departments so that management can obtain maximum benefit from the IT resource.	
Activity Name	Business Application Development and Support	
Activity Purpose	The purpose of the Business Application Development & Support Activity is to provide maintenance on existing applications and development of new applications for client departments so they can automate their business functions to meet their goals and deliver results.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Custom Built Applications • Electronic Forms • Web Graphics Design • External Service Provider (ESP) Contract Administration • Product Recommendations • Reports • Technical Assistance 	<ul style="list-style-type: none"> • Technical Assistance • Integration of ASP Products & Existing Systems • Maintained Applications • Requirements Definition • Web Content Publishing • Purchased & Customized Applications • Workflow Applications
Performance Measures	<p>Result: % Customers Satisfied with Applications Development Service Request Outcome</p> <p>Result: % Change in Web Pages Viewed (Internet & Intranet)</p> <p>Output: # of Application Development Service Requests Completed</p> <p>Output: # of Web Pages Supported</p> <p>Demand: # of Application Development Service Requests Anticipated</p> <p>Demand: Number of Web Page create/update/delete Requests Anticipated</p> <p>Efficiency: Cost per Application Development Service Request</p> <p>Efficiency: Cost per Web Page Supported</p>	
Activity Name	Data Center	
Activity Purpose	The purpose of the Data Center activity is to provide continuous operational support of centralized computing and network equipment to client organizations so that they can benefit from a stable and secure IT platform.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Computing Equipment Operations 	<ul style="list-style-type: none"> • Supported systems Software • Managed Production Jobs



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Performance Measures	Result: % System Availability (24x7) Result: % System Availability During Prime Business Hours (12x5) Output: # Hours System Available (24x7), excluding planned outages Output: # Hours System Available (12x5), excluding planned outages, during prime business hours Demand: Anticipated # Hours System should be available (24x7) Demand: Anticipated # Hours System should be available during prime business hours (12x5) Efficiency: Cost per Hour System Available (24x7), excluding planned outages Efficiency: Cost per Hour System Available during prime business hours (12x5), excluding planned outages	
Activity Name	Desktop Support	
Activity Purpose	The purpose of the Desktop Support Activity is to provide management and support of the entire desktop life cycle to clients so that they can benefit from a stable-computing platform.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Desktop Upgrades • Distributed Equipment • Hardware & Software Inventory • Infrastructure Data Archiving & Recovery • Network Server Services • Office Automation Tools • Acquired Equipment • Help Desk Contacts 	<ul style="list-style-type: none"> • Repaired Equipment • Technical Guidance (Desktop Hardware & Software) • Desktop Guidance • Hardware Configuration & Pricing • Personal Data Storage • Desktop Installations • Desktop Virus Protection
Performance Measures	Result: % of Available Server Services (24x7) Result: % of Available Server Services During Prime Business Hours (12x5) Output: Number of installed and redeployed desktops Demand: Expected number of installed and redeployed desktops Efficiency: Cost per installed and redeployed desktop	
Activity Name	G.I.S. Application Development & Support	
Activity Purpose	The purpose of the G.I.S. Application Development & Support Activity is to provide spatial data repository, tools and services for County departments and other participating jurisdictions so that they can create, represent, and analyze geographic information.	
Services that comprise the Activity	<ul style="list-style-type: none"> • Maintained GIS Data • Consolidated Agency GIS Data Repository 	<ul style="list-style-type: none"> • Resolved GIS Problems • GIS Tools & Reports (Maps
Performance Measures	Result: % of GIS Customers Satisfied with Outcome Output: # GIS Service Requests Completed Demand: # of GIS Service Requests Expected Efficiency: Cost per GIS Service Request	



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Activity Name	Help Desk Support
Activity Purpose	The purpose of the Help Desk Support Activity is to provide problem prevention and resolution to clients so that they can experience maximum business continuity.
Services that comprise the Activity	<ul style="list-style-type: none"> • Surveys • Network Monitoring • Service Dispatch • Problem Resolution • Status Reports
Performance Measures	Result: % customers satisfied with Help Desk Services Output: Number of calls received Demand: Number of calls anticipated Efficiency: Cost per call
Activity Name	Value Added Network Services
Activity Purpose	The purpose of the Value Added Network Services Activity is to provide electronic communication systems for County staff so that they can interact and conduct business.
Services that comprise the Activity	<ul style="list-style-type: none"> • Conference Room Video • Desktop Video • On-line Meetings/ Collaboration • Virus Protection • Electronic Mail (e-mail) • FAX • Electronic Forms • Internet Service Provider (ISP) • Web Application Hosting Platform • Technical Assistance
Performance Measures	Result: % of Groupware System Availability 24x7 (Server) Result: % of Groupware System Availability 24x7 (End-to-End) Output: # mailboxes supported Demand: # groupware service/support requests Efficiency: Cost per mailbox



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APPENDIX C

ADMINISTRATIVE SERVICES PROGRAM P/A/S CODE GUIDELINES

To enhance consistency across departments/agencies, the following guidelines are offered for Activities and Services included in the Administrative Services Program. Activities are listed alphabetically. Within each Activity, the Services are listed alphabetically.

ACTIVITY	PAS CODE	SERVICE	GUIDELINE
BUDGETING	9006		For use by departmental administrative staff involved in budgeting assignments. Unless otherwise noted, costs can be coded at either the Service or Activity level based on departmental preference/need.
	9000	Budget Adjustments	For use by departmental administrative staff who process requests/approvals for budgetary and capital improvement adjustments to increase or decrease agency or capital project budgets so that their budgets will accurately reflect current expectations for revenue and expenditures. This activity is generally tied to creation of Agenda Items for BOS approval. Includes research, processing Agenda Items in Agenda Central, follow-up, phone calls, etc. required to complete the adjustment.
	9002	Budget preparation	For use by departmental administrative staff who develop and submit budget requests per requested instructions and in keeping with Board of Supervisors' policies. The purpose is to provide a budget that is technically sound and structurally balanced, and that sufficient information to analyze all budgetary requests has been provided. Includes research, data entry (Adaytum), filling out forms, follow-up, phone calls, reporting, etc. required in completing the task.
	9003	Budget variance analyses and projections	For use by departmental administrative staff who conduct analysis of actual and projected budget numbers. The purpose of this activity is to verify and/or amend data in a timely manner so that Departmental Management can make informed budgetary decisions. Includes research, data entry (Adaytum), follow-up, phone calls, reporting, etc. required in completing the analysis.
	9004	Management consultations	For use by departmental administrative staff who consult with management on issues regarding budget status, performance measurement, and policy issues. The purpose of this service is to provide timely and accurate information so departmental management can make informed decisions. Includes research, data entry (Adaytum), follow-up, phone calls, reporting, etc. required in completing the task.
	9001	Position Requests	For use by departmental administrative staff who maintain budgets in the Budget Maintenance System and prepare documents to create and delete positions, change employee salaries, and fill positions as per the Funded Position Policy. Includes research, data entry (Adaytum), filling out of forms, follow-up, phone calls, reporting, etc. required in completing the task.



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Financial Services	9024		For use by departmental administrative staff involved in financial services assignments. Unless otherwise noted, costs can be coded at either the Service or Activity level based on departmental preference/need.
	9012	Accounts payable	For use by departmental finance staff who research, prepare, approve and/or data input accounts payable transactions. Accounts payable transactions include filing, follow-up, phone calls, distribution, reconciliation to Advantage and/or warrant register and all steps necessary to complete a transaction. Additional accounts payable activity due to fiscal year-end closing requirements can be posted to this code or to "Year-end closing packages (9023)" at the department's discretion. Please be consistent.
	9013	Accounts receivable	For use by departmental finance staff who research, prepare and/or approve departmental accounts receivable transactions, including deposits. Accounts receivable transactions include filing, follow-up, phone calls, reconciliation to Advantage and/or Treasurer and all steps necessary to complete a transaction.
	9014	Billings	For use by departmental finance staff who research, prepare, mail and/or approve billings for services or per IGA's to other entities that cannot be charged to a specific department (non-administrative) Service or Activity. Billings include filing, follow-up, phone calls and all steps necessary to complete a transaction.
	9020	Capital projects accounting	For use by departmental finance staff who perform any function of capital project accounting that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9009	Cash receipts	For use by departmental finance staff who research, prepare, and/or approve cash receipts and deposits to either the Treasurer or depository accounts. Cash receipt transactions include filing, follow-up, phone calls, reconciliation to Advantage and/or Treasurer and all steps necessary to complete a transaction.
	9018	Cost allocations	For use by departmental finance staff who research, prepare, charge and or approve the allocation of costs from PAS code 9999 and the Administrative Services Program. If applicable to grants, the time spent on this service can be charged to "Grant Accounting (9019)".
	9022	Financial analyses	For use by departmental finance staff who perform any form of financial analyses that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9015	Financial/management reports	For use by departmental finance staff who research, prepare, review and/or approve departmental financial/management reports that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9021	General Fixed Assets accounting	For use by departmental finance staff who research, prepare and/or approve transactions related to the accounting of departmental fixed assets.
	9019	Grant accounting	For use by departmental finance staff who perform any function of grant accounting that cannot be charged to a specific departmental (non-administrative) Service or Activity.



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	9008	Journal Voucher entries	For use by departmental finance staff who research, prepare, approve and/or data input journal voucher entries. Journal voucher transactions include filing, follow-up, phone calls, reconciliation to Advantage and all steps necessary to complete a transaction.
	9011	Petty cash	For use by departmental finance staff who research, prepare, maintain and/or approve petty cash transactions. Petty cash transactions include filing, follow-up, phone calls, reconciliation to Advantage and all steps necessary to complete a transaction.
	9016	Reconciliations	For use by departmental finance staff who research, prepare and/or approve any form of departmental reconciliations, including reconciliations of financial information via Advantage, reconciliations of internal departmental financial information, bank accounts, etc.
	9023	Year-end closing packages	For use by departmental finance staff who are involved in the research, completion of forms and/or approval of the items requested in the year-end closing package developed by the Department of Finance. Code could also be used for any time spent on additional year-end financial work related to the closing of the year.
Human Resources	9040		For use by departmental administrative staff involved in human resources related assignments. Unless otherwise noted, costs can be coded at either the Service or Activity level based on departmental preference/need.
	9038	Commute Options services	For use by each department's Commute Options representative.
	9030	Curriculum designs	For use by departmental training professionals who develop and design curriculum for themselves or others to deliver.
	9026	Employee relations	For use by departmental staff who advise department supervisors, managers and directors on employee relations issues, including Merit Rules and other County HR policies, and to track time and cost related to conducting internal investigations.
	9037	Employee Suggestion evaluations	For use by the department's Rewarding Ideas Coordinator and suggestion evaluators who work on behalf of departmental administration to determine potential cost savings of suggestions.
	9028	Employee training classes	For use in recording costs associated with non-IT/technical training attended by departmental staff. Costs associated with technical IT training are charged to "Technologist IT training (9039)." Additionally, a separate PAS code is available for "Supervisor Training In Accident Reduction Techniques (START) training classes (9070)." See description provided in the Risk Management Activity of the Admin Services Program.
	9034	Ergonomic requests	For use by departmental staff who process ergonomic requests and interface with the HR Department Ergonomists about evaluations and equipment.
	9025	Hiring services	For use by departmental staff who prepare Personnel Requisitions, advertising, complete all in-processing activities.
	9033	Market Study Requests	For use by departmental staff who complete job descriptions and market study request forms.
	9036	Payroll services	For use by departmental payroll liaisons



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	9027	Performance Management Program Administration Services	For use by department administrative staff who maintain evaluation schedules, maintain departmental files of performance plans and evaluations, coordinate the processing of higher review requests, and handle related administrative aspects of the performance management process.
	9032	Salary Advancement Requests	For use by departmental staff who administer the department's compensation strategy and/or process the paperwork associated with the requests.
	9039	Technologist IT training	For use in recording costs associated with technical IT training attended by a department's technology staff. For other types of training, please use "Employee training classes (9028)" or "Supervisor Training in Accident Reduction Techniques (START) training classes (9070)" as applicable.
	9029	Training presentations	Use to count the cost and hours spent in delivering department-specific training. If department staff act as adjunct faculty delivering a class(es) for the Employee Course Catalog, time should be coded to 2561 (Employee Training Courses.) If department staff teach in MCMI Supervisor School, code time to 2560; MCMI Manager School, code time to 2559.
	9031	Tuition Reimbursement forms processing	For use ONLY by departments that by the nature of their funding administer their own tuition reimbursement program; i.e., Flood Control District, Library, Stadium District, Transportation and MIHS.
	9035	Workers' Compensation Claims	For use by departmental staff who complete the notice of injury form and who interface with the HR Departments' Disability Managers or Risk Management Department/Safety staff.
Office of the Director/ Official	9058		For use by departmental administrative staff involved in providing direct assistance/support to a department director/elected official that cannot be charged to a specific departmental (non-administrative) Service or Activity. Unless otherwise noted, costs can be coded at either the Service or Activity level based on departmental preference/need.
	9049	Administrative reports	For use by departmental staff who conduct research, compile information or generate administrative reports that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9055	Agenda Item reviews	For use by departmental administrative staff who initiate and/or conduct departmental level reviews of Board of Supervisors' Agenda Items. Includes research, follow-up, phone calls, etc. required to complete the reviews.
	9051	Calendaring	For use by departmental staff who establish and/or maintain the department director/elected official's calendar.
	9042	Citizen Board and Commission support	For use by departmental staff who provide support to departmental citizen boards/commissions that do not relate to a specific departmental (non-administrative) Service or Activity. Includes preparing meeting agendas, taking minutes, preparing and distributing informational materials to board/commission members, etc.



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	9047	Corporate initiative meetings	For use by departmental staff involved in workplace giving campaigns, food drives, blood drives, etc. Includes scheduling an/or conducting employee meetings, designing and/or distributing informational materials, coordinating with other County employees, etc. Also used by employees who attend such meetings.
	9045	Correspondence preparation	For use by departmental staff involved in composing, generating, and/or mailing correspondence on behalf of the department director/official.
	9046	Correspondence review and dissemination (mail)	For use by departmental staff who receive, open, review and distribute departmental mail.
	9044	Customer service	For use by departmental staff who greet, assist and/or direct visitors – both in person and on the telephone – who contact the director/official's office.
	9048	Departmental files management	For use by departmental staff who create and maintain the director/elected official's internal departmental files.
	9050	Departmental policies and procedures	For use by departmental staff who are involved in researching, drafting, and/or generating internal departmental policies and procedures.
	9054	Employee communication materials/events	For use by departmental staff involved in compiling, drafting, generating, publishing and/or disseminating communication materials geared to departmental employees. Includes departmental newsletters, departmental events planning and notification, etc.
	9052	Facilities Mgt Dept coordination services	For use by departmental staff charged with coordinating departmental facilities needs with the Facilities Management Department staff.
	9056	IT coordination services	For use by departmental staff charged with coordinating departmental technology needs with the Office of the CIO staff. Includes requesting repairs, coordinating requests for new/expanded services, etc.
	9043	Legislation research and analysis	For use by departmental administrative staff charged with conducting research and/or analysis of current or proposed legislation affecting the department operation.
	9053	Public communication materials/events	For use by departmental staff involved in public communications and/or events that cannot be charged to a specific departmental (non-administrative) Service or Activity. Includes compiling, drafting, generating, publishing and/or disseminating communication materials to the public; coordinating, communicating and/or conducting public events and meetings.
	9041	Strategic planning documents and reports	For use by departmental staff assigned as the Strategic Coordinator. Includes facilitating departmental planning sessions, collecting and/or reporting data, maintaining information on the EBC MFR database, and related functions.



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	9057	Telecommunications coordination services	For use by departmental staff charged with coordinating departmental telecommunication needs with the Telecommunications Department. Includes requesting repairs, coordinating requests for new/expanded services, reviewing and processing telecommunication charges, etc.
Procurement	9088		For use by departmental staff involved in the departmental procurement assignments. Unless otherwise noted, costs can be coded at either the Service or Activity level based on departmental preference/need.
	9082	Commodities (supplies, equipment, parts, etc.)	For use by departmental staff to track time and cost of ordering commodity items utilized by their respective departments.
	9085	Consultation sessions	For use by departmental staff to track time and cost of assisting internal departmental personnel identify or define requirement or for advice, guidance or direction provided by Materials Management personnel related to the procurement of commodities or services.
	9083	Contract monitoring	For use by departmental staff to track time and cost of conducting or participating in contract monitoring activities either internal to their respective departments or in support of Materials Management contract monitoring activities that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9080	Contract vendors	For use by departmental staff to track time and cost of working with vendors holding valid contracts with Maricopa County to determine pricing, resolve issues and disputes, and gather information that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9086	P-card support services	For use by departmental staff to track time and cost of efforts expended in support of all aspects of P-Card utilization by their respective departments.
	9084	Reports (status/tracking, pricing, vendors, specs, etc.)	For use by departmental staff to track time and cost of developing, reviewing and correcting various reports that support their respective departments procurement activities that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9081	Service providers	For use by departmental staff to track time and cost of ordering services utilized by their respective departments that cannot be charged to a specific departmental (non-administrative) Service or Activity.
	9087	Warehousing/ Inventory Services	For use by departmental staff to track time and cost of supporting activities directly related to the storage, maintenance, inventorying, and/or issuance of commodities and materials maintained to support the activities of their respective departments. Also includes time and costs associated with forwarding/processing equipment to surplus.



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Risk Management	9071		For use by departmental staff involved in loss prevention and safety assignments. Unless otherwise noted, costs can be coded at either the Service or Activity level based on departmental preference/need.
	9066	Injury, accident and loss forms and reports	For use by departmental staff who complete required forms each time a Department experiences an injury or loss. The purpose of this Service is to provide information, in the form of an Industrial Injury or general liability form, in a timely and accurate manner (within 24 hours). All of the claim forms are in Word97 and can be forwarded to the Risk Management Department via e-mail. Includes completion of forms, obtaining additional documentation, research, follow-up, phone calls, etc. required to complete the task.
	9068	Injury and accident investigations	For use by departmental staff who conduct post-accident investigations that determine the cause of the accident and preventative measures to reduce future occurrence of similar incidents. The purpose of this Service is to assist in the determination of comparative negligence of all parties. Includes photographing when necessary, recording the identities of the involved parties and witnesses, and documentation of the time and location of the accident.
	9069	Loss control/compliance inspections	For use by departmental staff who perform regular safety inspections of work activities and facilities. The purpose of the safety inspections is to ensure the safety and health of employees. Includes periodic inspections of work areas and facilities, development and completion of an approved checklist, documentation of deficiencies, identification of corrective actions needed, and maintenance of inspection records for one year.
	9067	Safety meetings	For use by departmental staff who conduct employee safety meetings. The purpose of the meetings is to review pertinent safety subjects or recent incidents affecting department safety. The meetings are designed to enhance departmental awareness and knowledge of safety precautions, procedures and work practices. Includes research, presentation development, and conducting meetings.
	9070	Supervisor Training in Accident Reduction Techniques (START) training classes	For use by departmental staff who attend the START Safety training series. The purpose of the training is to help supervisors master the safety challenges encountered in the work environment and demonstrate how safety enhances job performance, productivity and profitability. Includes attendance at training and development of strategies that will integrate safety management within the organizational culture, assist in hazard recognition and investigation of root causes of accidents, and facilitate the understanding of the START accountability process.

**FOR A COMPLETE LISTING OF ALL CURRENT PAS CODES,
visit the Finance Department website at
http://ebc.maricopa.gov/finance/pdf/PAS_Codes_FY03.pdf**



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APPENDIX D

Maricopa County Policies and Procedures	Subject: Managing for Results Policy	Number: B6001 Issue Date: 9/00
Approved: Andrew Kunasek	Initiating Department: Office of Management and Budget	

1. PURPOSE

This policy establishes a framework that integrates planning, budgeting, reporting, evaluating and decision making for all Maricopa County departments and agencies. This framework is called Managing for Results; a management system that establishes the requirements to fulfill the County's Mission and Vision of accountability to its citizens.

This policy is promulgated as part of the annual County budget process under the authority of the Board of Supervisors.

2. DEFINITIONS

Managing for Results System – Managing for Results means that an entire organization, its management system, its employees and the organizational culture (beliefs, behavior and language) are focused on achieving results for the customer. Managing for Results provides direction for making good business decisions based on performance, and makes departments/agencies accountable for results.

Strategic Plan – A Strategic Plan sets forth the mission, strategic goals, performance measurements for a department, agency and the County. A Strategic Plan provides information to department/agency staff, corporate decision makers, the Board of Supervisors and the public about how the department/agency is organized to deliver results and what results the department/agency is accountable for achieving. It also provides the opportunity for all County employees to see how they contribute at all levels in the organization.

Managing for Results Resource Guide – This guide describes Maricopa County's strategic planning process, and how to develop and implement a plan. The Resource Guide is available to all County employees.

Department/Agency – This includes appointed departments, offices, elected departments, special districts and the judicial branch.

3. GENERAL POLICY

All Maricopa County departments/agencies will participate in the Maricopa County Managing for Results system and shall comply with this policy.

4. GENERAL REQUIREMENTS

A. Planning for Results



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1. Each department/agency will develop and submit to the Office of Management and Budget a department/agency strategic plan as part of the budget process.
2. All strategic plans will be developed and presented to the Office of Management and Budget in required format as outlined in the Managing for Results Resource Guide. All strategic plans will be submitted according to the annual budget calendar.
3. All managers will work with assigned employees to establish performance plans that align with department/agency strategic plans. Performance plans will be developed in accordance with Performance Management policy #A1802.
4. The County Administrative Officer will develop and present to the Board of Supervisors a Countywide strategic plan, which contains strategic priorities and key result measures.

B. Budgeting for Results

1. The Office of Management and Budget and the Department of Finance will develop and maintain a financial structure aligned with the Managing for Results system.
2. The Board of Supervisors directs the Office of Management and Budget to review department/agency strategic plans and performance measures as a basis for making funding recommendations.

C. Reporting Results

1. Departments/Agencies will report quarterly to the Office of Management and Budget on their family of measures for budget and planning purposes according to the annual budget calendar.
2. The Office of Management and Budget will prepare and distribute a summary of measures.

D. Evaluating Results

1. Internal Audit will review and report on strategic plans and performance measures.

Decision Making and Accountability

1. The Board of Supervisors directs all Management to use performance information to manage activities effectively and efficiently.
2. Management will consider performance information in making policy and program decisions.



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APPENDIX E

Performance Planning Guidelines

The Performance Planning document consists of two components - the Alignment Worksheet and the Employee Development Plan. The Performance Planning discussion is about more than completing some forms. It is an opportunity for the supervisor and employee to discuss the duties of the job, the results expectations, the work behavior that are expected, and the needs of the employee in the form of support and development. This discussion is documented and begins the Performance Management cycle.

To prepare for this discussion

The supervisor will gather related documents to review with the employee such as these:

- A copy of the strategic plan
- A copy of the job description
- A copy of process guidelines, standards, or procedures
- A copy of the previous evaluation
- Any other related documents to the position, activities, or services in which the employee has a role.
- Performance Planning documents - Alignment Worksheet and Employee Development Plan
- A copy of the Performance Management Evaluation Report Form including the Performance Factors
- Training & development resources - such as training catalogs (or the EBC)

Alignment Worksheet Completion and Discussion



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(See the form, sample and instructions)

1. The supervisor and employee will select the Programs/Activities/Services (PAS) in which the employee has a role.
2. Together, the employee and supervisor use this template to develop an Individual Performance Purpose Statement related to the PAS's to which the employee contributes.
3. The employee and supervisor will develop a SMART (specific, measurable, attainable, relevant, trackable) goal that clearly states the individual results expectations of the employee, including measures and targets.
4. After the goals are written, an agreed upon plan for documenting performance and monitoring will be established.

Performance Factors Review

After the completion of the Alignment Worksheet, the supervisor will review the performance factors with the employee. The supervisor and employee will discuss the expectations and establish priorities. This discussion will help set expectations for desired work behaviors and help the employee understand how they will be rated in the annual evaluation. This section of the form will not be completed until the next evaluation.

Employee Development Plan

After reviewing the Performance Factors, the supervisor and employee will complete the Employee Development Plan (EDP). The EDP will provide a framework for discussing strengths, career or growth interests, development needs, and training or other activities that will support that growth. The supervisor will list the development area and check the appropriate box to show if the topic is related to the results, performance factor, career development or other requirement. The supervisor and employee will list what will be done, accomplishment timelines, follow-up dates, and enabling requirements. The employee will list any suggestions they have for other support they need to do their job well.



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Documentation

The employee and supervisor will sign and date both documents contained in the Performance Plan (Alignment Worksheet and Employee Development Plan). A copy of these forms will be forwarded to Human Resources/Employee Records.

The Performance Planning documents should be modified as assignments change or other development needs are identified during the course of the review period. As changes are made, the supervisor should document those changes and the employee should also sign off on them.

At the end of the review period, the updated Performance Plan should be submitted to Human Resources/Employee Records, along with the completed/signed evaluation form.

The actual policy on the Performance Management Process is available at <http://ebc.maricopa.gov/pp/admin/pdf/a1802.pdf>.